

UNDP Kazakhstan

EVALUATION

OF THE COUNTRY PROGRAMME OUTCOME 1.3

“Ecosystems and natural resources are protected and sustainably used, and human settlements are resilient to natural and human-induced disasters and climate change”

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ABBREVIATIONS

ARR – Assistant Resident Representative
CEDAW – Convention on the Elimination of all Forms of Discrimination Against Women
CO – Country Office
COP – Conference of Parties
CPD – Country Programme Document
DRR – Deputy Resident Representative
E&E – Energy and Environment
EBRD – European Bank for Reconstruction and Development
EIA – Environmental Impact Assessment
EIB – European Investment Bank
EU – European Union
GCF – Green Climate Fund
GEF – Global Environment Facility
GHG – Greenhouse gases
GoK – Government of Kazakhstan
INDC – Intended Nationally-Determined Contribution
IsDB – Islamic Development Bank
M&E – Monitoring and Evaluation
NAMA – National Appropriate Mitigation Action
NCC – Net Contributing Country
NCSA – National Capacity Self-Assessment
NHDR – National Human Development Report
NIP – National Implementation Plan
PD – Project Document
PFD – Partnership for Development
POP – Persistent Organic Pollutants
PSC – Project Steering Committee
RBM – Results-Based Management
RES – Renewable Energy Resources
RR – Resident Representative
RRF – Results and Resources Framework
SDG – Sustainable Development Goal
UNCT – United Nations Country Team
UNDAF – United Nations Development Assistance Framework
UNDP – United Nations Development Programme
UNFCCC – United Nations Framework Convention for Climate Change
WB – World Bank

EXECUTIVE SUMMARY

This is an independent evaluation of the Outcome 1.3 “Ecosystems and natural resources are protected, and sustainably used, and human settlements are resilient to natural and human-induced disasters and climate change” of UNDP Kazakhstan Country Program 2016-2020.

UNDP’s CPD is an integral part of the larger UN framework called Partnership for Development (PFD) 2016-2020, which is the operational plan of the UN system in Kazakhstan and is in turn guided by the government’s “Kazakhstan 2050 Vision”.

The evaluation’s primary objective is to review and assess the results and role of UNDP activities in the energy and environment area and their contribution to the country’s development results in the 2016-2018 period. This report provides an objective assessment of achievements, constraints, performance, results, impact, relevance and sustainability of UNDP’s work and the organization’s strategic positioning in the country based on its strengths and comparative advantage. It also generates lessons which may be used by the Country Office to improve its programming, partnership arrangements, resource mobilization strategies, working methods and management structures in the upcoming programme cycle.

The focus of this evaluation is on energy efficiency and environmental projects which UNDP Kazakhstan has been implementing during the period in question. The current UNDP programme involves a total of 24 energy efficiency and environmental projects, but only 13 have been included in this evaluation, as the other 11 were considered either too small in budget and scope of activities, or very recent to have had any impact. The cluster of 13 projects falling under the scope of this evaluation has been financed with contributions by the Global Environment Facility, European Union, Government of Kazakhstan, (amounting to about US\$ 40 m) and matching funds from UNDP’s own resources (amounting to about US\$ 185,000). Although they address issues which on the surface might appear quite distinct from one another, all 13 projects share a number of similar objectives which makes many of their activities synergetic and interdependent. They cover the following four thematic areas - ***biodiversity and natural resource management, climate change and energy efficiency, chemicals and waste management, and water management.***

The evaluation’s findings are organized along the four standard dimensions of UNDP evaluations: i) relevance (the extent to which the programme has been relevant to the country’s priorities and needs); ii) effectiveness (whether the programme has been effective in achieving the desired and planned outcomes); iii) efficiency (whether the process of achieving the results has been efficient); and, iv) sustainability (the extent to which the benefits of the programme are likely to be sustained).

Relevance

Over, this evaluation finds the E&E cluster to have been strongly relevant. Not only is the programme focused on key priority areas of biodiversity, energy efficiency, and climate change, but its multi-dimensional (cross-sectoral) character makes UNDP's contribution relevant to other areas (waster and water management, air pollution, land management, etc.). Moreover, most projects have been designed and have been implemented to address specific issues related to Kazakhstan's commitments to international obligations.

Effectiveness

In the period in question, the CO has provided valuable contributions, especially in the four areas of its focus. In the area of biodiversity and management of natural resources, UNDP has contributed directly to expanding and strengthening the management of protected areas, reduction of pressure on the biodiversity of desert and semi-desert ecosystems and wetlands, development of fishing and farming, etc. Over 234,000 hectares of degraded agricultural lands have been restored and hundreds of jobs have been directly created. In the area of energy efficiency and climate change mitigation, UNDP has contributed to the development of legislation and regulatory framework, piloting and showcasing of energy efficiency practices and technologies, promotion of renewables, etc. At the practical level, through these projects UNDP has contributed to the direct reduction of GHGs and the creation of a significant number of jobs. In the area of waste management, the UNDP has supported the government to improve the policy and regulatory framework in the area of persistent organic pollutants, mercury, and other chemicals. Support was also provided for the introduction of amendments to the Environmental Code regarding the establishment of standards for emissions of dioxins and furans, as well as the development of a system for the accreditation of laboratories for pesticides. UNDP also supported the demonstration in pilot territories of the safe disposal of medical waste through autoclaving. In the area of water management, the *Green Economy* project implemented a "grant programme", primarily in the area of water management, designed to demonstrate that green technologies can not only reduce pressure on natural resources, but also improve profitability with acceptable initial costs. UNDP also helped the government strengthen water management policies and practices (i.e. Transboundary Water Management or Strategic Environmental Assessments).

Efficiency

The overall execution rate for the portfolio for the period in question is satisfactory, standing at 90% at the time of the evaluation. Projects with weaker execution rates tend to be the ones which have started more recently, which is often explained by a tendency to underspend in the first year of the project as the project infrastructure is being established. Project activities (including procurement and recruitment) are generally taking place within agreed timelines and partners are overall pleased with the pace of implementation.

The E&E sector is well structured and functions effectively. The projects are well-managed and are led by competent managers. There are clear roles and responsibilities and lines of accountability for team members. The CO has created portfolios which combine projects into bundles and which enables a project manager to manage a bundle of projects, rather than an individual project. The portfolio approach to managing the projects appears to have been useful, allowing the unit to create economies of scale and maintain project managers and staff when individual projects close down.

Within the limitations imposed by the donor-funded nature of the activities, the sector team has struck the right balance in strengthening linkages between the various projects within the E&E portfolio and forging synergies between them. However, the evidence on synergies between projects was less substantial outside the cluster than within. The potential for stronger cross-sectoral cooperation between *E&E* and *Governance* projects is significant especially at the sub-national (local/regional) level. The *E&E* sector too has a significant focus on the local level. Of particular relevance to the E&E activities unit are the local level activities of the “*diversification*” cluster, and in particular two regional projects in the Kyzylorda and Mangystau, which have established an integrated area-based approach at the local level, combining the three strands of sustainable development. UNDP’s access to local communities and authorities through its regional programmes such as these two regional projects is an invaluable asset which some of the E&E projects that work at the sub-national level could tap into more effectively to save costs and accelerate activities.

As far as cooperation with government institutions, development partners and UN agencies is concerned, UNDP has been able to establish trust and confidence with the main partners by involving them closely in the process. UNDP has active focal points and contacts in all relevant government bodies. Projects’ annual work plans are discussed with government partners during Project Board meetings and adjusted according to members’ feedback. All project activities, including at sub-national level are coordinated with the government counterparts on the national level. UNDP has also led coordination around specific issues on the basis of its ongoing projects. It has actively partnered with the development partners like EBRD (infrastructure projects in renewables, transport and green-tech), Islamic Development Bank (water, agriculture), World Bank (road infrastructure, water, energy efficiency), USAID (agriculture, renewables, water), EU (water, energy, agriculture), etc. UNDP has also cooperated with the Korean Forest Service, Green Climate Fund, BIOFIN Global, Russian Trust Fund, Coca-Cola, etc. It has further cooperated with relevant UN agencies under the UN Result Group 3 for Sustainable Environment, which it has co-chaired with UNEP.

Sustainability

A key feature of UNDP’s E&E programme with important implications for sustainability is its focus on policy formulation. A number of projects have contributed to the development of policy instruments - draft laws, regulations or strategies. Beyond the approval/adoption of policy and

legislation, a serious issue for all levels of government is implementation. Kazakhstan has developed and adopted numerous policy documents related to the concept of green economy. However, a severe problem is weak implementation. The lack of implementation has an impact on the sustainability of UNDP projects supporting policy reforms because in such a situation projects have a hard time turning project outputs (such as policies, regulations, studies, etc.) into sustained action leading to improved outcomes related energy efficiency or environmental protection. UNDP has taken some good steps in dealing with the problem of implementation. Interventions in this area have not only supported the development of policy but also the capability of government entities to implement policies. The focus has been on human resource and financing aspects which are key (but not the only) prerequisites for implementation. UNDP's focus on financing mechanisms in the environmental and energy efficiency sectors has been an important feature of the E&E programme and is commendable. However, there is room for further work on supporting authorities to focus more on the implementation of laws and regulations on the ground. At the level of project design, the CO could take a more comprehensive and analytical approach on the support it provides to governments, covering the whole policy spectrum, including implementation aspects.

UNDP's E&E programme has had a significant focus on piloting and demonstrating innovative solutions to specific problems, with the expectation that if successful they will be replicated, scaled up and institutionalized by government institutions. The general idea is that UNDP is not in the business of solving specific problems, but helping national stakeholders identify systemic solutions to these problems. The evaluation found that the CO is moving away from one-off investments in infrastructure, and is now contributing to the institutionalization of practices and systems through systematic approaches. The unit has focused in particular on the establishment of methodologies and systems for investments by the public sector. The results of UNDP's work in this area are positive. The focus on methodologies and systems integrated into the workings of government institutions is a strong factor of sustainability for projects. However, there is room for further improvement in this area. One important thing is having a clear strategy for how these piloting initiatives will be brought to scale. This challenge has been noted in a number of project evaluations. Another area where the unit team could make improvements is in strengthening the system for the monitoring and tracking of the performance of pilots over time – the lessons they generate during the piloting stage and the extent to which they get replicated and scaled up.

The E&E portfolio has mobilized significant commitments of co-financing or cost-sharing by government entities or the private sector. For some projects, government co-financing constitutes a significant part of the resources expected to be spent under the project. UNDP has also been instrumental in the establishment of financing mechanisms, especially in the area of energy efficiency. However, not all financing commitments have materialized yet and it is often difficult to establish what amount of co-financing and parallel financing was generated by a particular project. The promotion of co-financing and the move from grants to market-based mechanisms is a positive achievement. UNDP should continue to build on these achievements by strengthening

competitive market mechanisms to ensure the sustainability and scale of initiatives. Instead of providing grants, UNDP projects should further strengthen incentives for more access to international financial institutions and banks for finance. By playing the role of the catalyzer, UNDP will be able to achieve much more impact than if it had just provided grants.

Further, most E&E projects have significant components related to sharing of information and raising awareness around issues of green economy, promotion of energy efficiency and renewable energies, waste and water management practices, etc. While many of these activities are useful and serve a clear purpose, UNDP should re-examine how it works in this area and take a more strategic approach with a view to strengthening the effectiveness of these types of initiatives.

Impact

Overall, the impact of UNDP's activities in the E&E sector during the current programme cycle has been significant. A large part of the impact of this work is at the institutional level. UNDP helped strengthen the policy and legal framework, as was the case with a number of laws, regulations and methodologies mentioned above. By helping introduce changes at this level, UNDP has helped shaped the incentives of the respective organizations and agents, which ultimately has an effect on their behavior (assuming these instruments are implemented – more on this in the sustainability section). Further, through the various training activities, UNDP has supported the development of the capacities of existing public organizations to carry out their functions. With regards to the activities around reporting on climate change, UNDP's contribution has been in strengthening the ability of national institutions to carry out these tasks on their own. The infrastructure projects in the areas of natural resource management, energy efficiency, waste and water sectors have had two dimensions in terms of their contributions. First, they have demonstrated the value and feasibility of certain technologies, especially in relation to the use of solar, renovations, insulation, water management, etc. Second, they have demonstrated approaches for how these infrastructure projects could be identified and carried out. On both counts, UNDP has introduced innovative concepts which have the potential to shift existing practices into more efficient levels.

Strategic Positioning

UNDP is well-positioned and has significant comparative advantages in the area of E&E in Kazakhstan. The E&E programme constitutes the largest sector in the country programme and has grown significantly recently. In terms of funding, the E&E programme has relied primarily on one major donor – the Global Environment Facility (GEF). With the largest GEF portfolio in the Regional Bureau for Europe and the Commonwealth of Independent States, UNDP Kazakhstan has been particularly successful in mobilizing funding from this source.

For all the success of the CO in resource mobilization in this area, most E&E projects are quickly coming to an end. The CO will enter the new programme cycle with only a handful of E&E projects. Looking forward, the key questions the CO faces are – How is the sector currently

positioned and what types of activities and sources of funding will be available to sustain its activities in the coming years? Which types of activities and thematic areas the CO should engage with? Here the CO is running against a serious challenge. As an upper-middle income country, Kazakhstan is facing decreasing financing options from development donors. This, combined with fiercer competition among development partners for a smaller pool of funding, will present an increasing challenge to UNDP. The CO management is acutely aware of this challenge and has elevated partnership development as one of its highest priority.

The CO's best response to this situation is a two-pronged strategy that leverages its success and good standing in this area to further strengthen partnerships with traditional partners on the basis of competence, results and cost-effectiveness, and engages non-traditional sources of funding by presenting them with attractive options of cooperation. As far as non-traditional sources of funding are concerned, the CO has invested a lot of effort already across all programme areas, but particularly in the E&E sector.

In terms of thematic areas, biodiversity and natural resource management (including land management and agriculture), energy efficiency and climate change, water management, and waste management are areas where UNDP is already well-established, by creating significant depth and emerging as a serious player in the country. Factors contributing to this success include early niche-positioning and good cooperation with authorities at the national and sub-national level. These are likely to remain important areas of work, subject to availability of funds. UNDP is well advised to build on the foundations it has laid and seek to create more depth and expertise in these areas, as the sector might not have the capacity to manage additional areas. One more area where it could expand if there funding available (given the opportunistic nature of UNDP's funding driven by the lack of its own resources) is the area of DRR. Given their cross-cutting nature, DRR activities could be integrated into some of the thematic areas mentioned above. As for cross-cutting activities in the E&E sector, there is one area where the unit should engage more actively. This is the area of Sustainable Development Goals (SDGs). The SDG process presents a unique opportunity for integrating environmental concerns into policy frameworks – which is a large part of what the sector is trying to do.

Many lessons could be drawn from the experience of the E&E portfolio reviewed here, but the following two are included in this report:

- One important lesson that can be drawn from the experience of UNDP Kazakhstan is that as the country gets richer and edges closer to the high-income status, it becomes more and more difficult for UNDP to attract donor funds. In such conditions, UNDP has to rely more on the national government for funding. For the government to be willing to allocate a slice of its budget to the UNDP, there has to be something that is quite attractive in what UNDP offers. This leads us to the issue of UNDP's competitiveness and quality of service. To stay relevant in high-income countries, UNDP has to upgrade the quality of services it provides and be able to compete with high-profile private sector consulting firms. This requires a

lot of investment in the human resource, as well as good management of the office. Furthermore, UNDP has to look for innovative ways of doing business in the country, which includes partnerships with IFIs which provide large loans to the country. This is something the Kazakh CO is exploring quite actively and which in the future might become one of the foundations of UNDP operations in the country. Right now the CO seems to be on the brink of a transition to a different way of funding its operations. Learning from the experience of UNDP CO that have been through this transition (i.e. Poland, Romania, Latvia, Estonia, etc.) might be useful.

- Another lesson can be drawn around the use of market-based mechanisms for investments in infrastructure. After cycles of experience and experimenting with energy efficiency projects, UNDP Kazakhstan has realized that the best way to invest in infrastructure projects, especially in the area of energy efficiency where it has a lot of experience, but not only, is by using the market mechanism – the provision of loans guided by market criteria, rather than grants. The strong focus of the current E&E programme on establishing sustainable financing mechanisms is critical because it leads to solutions that have a chance of withstanding the test of time, long after the UNDP project is over. Establishing financing mechanisms based on the banking system or financial institutions guarantees investment stability and longevity. This is something that the Kazakhstan CO should further consolidate and other COs can learn from.

This report also provides six key recommendations for the consideration of the CO.

1. Results-Based Management at the Sectoral Level

In preparation for the development of the new CPD, the CO should strengthen the RBM system at the programme and project level.

- While it is hard to develop an RRF at the CPD level that will stay realistic and useful till the end of the programme cycle (given the uncertainty of programme funding), it is important for the CO to strengthen the system through which it tracks programme and project results on an ongoing basis. Information The highest priority for the CO in the area of E&E now is mobilization on some basic indicators that are driven by the nature of projects undertaken by the CO should be quickly available at any time and should be used by the CO management and sector teams to monitor and manage activities.
- The CO should strengthen the quality criteria for the development of project documents. This is an area where there is high predictability and having a well-structured project RRF is essential for the monitoring and management of project activities.
- The sector will also benefit from the development of a Theory of Change that connects all the specific pieces (projects). This is not just a theoretical exercise, but has practical value in that it will provide the team with insights into how these individual projects could be tied more effectively together.

- Also, the CO should strengthen quality criteria for evaluations and the way it manages the learning that is derived from them. The CO should develop minimum quality criteria for project evaluations and should establish a tracking system to closely monitor their quality.

2. Positioning and Resource Mobilization

In terms of positioning, the CO should continue to consolidate its position in the areas of biodiversity and natural resources, climate change and energy efficiency, and waste and water management. These are areas where UNDP Kazakhstan has already positioned itself well and is quite competitive. The DRR sector could offer opportunities for further work, if funding will be available. Furthermore, one cross-cutting issue with which the sector should be engaged more actively is the Sustainable Development Goals. Work on the SDGs should be coordinated closely between the sectors, but the E&E sector can play a much bigger role. Potential work the E&E sector could engage in includes the incorporation of SDGs in strategic documents and policies, establishing national targets and baselines to measure progress, supporting the distribution of responsibilities among government institutions, establishing data and monitoring systems that support SDGs, and assisting with reporting nationally and internationally. Overall, the E&E sector is well positioned to support through the SDG process the mainstreaming of the environmental concerns into the country's legal and policy framework and assist the government in further implementing the concept of Green Economy.

The highest priority for the CO in the area of E&E now is the mobilization of funding. Ongoing efforts with traditional donors which as GEF and the EU should continue, although the amount of financing expected from these sources will continue to decline. With regards to the EU, the CO should undertake a more systematic assessment and identification of opportunities by researching what the EU is planning for Kazakhstan. In this context, the CO could launch a more organized process of exploration concerning all sectors and involving UNDP's representation in Brussels and New York. As far as non-traditional donors are concerned, UNDP should continue its current efforts at identifying new modes of engagement. The IFIs, in particular, present good potential which the CO should explore by developing innovative mechanisms – such as the management of technical assistance components in the framework of loan agreements.

3. Programme Integration

The CO should strengthen integration between sectors by establishing integrated frameworks for project planning and implementation. ***Governance*** and ***diversification*** activities, especially at the sub-national level, provide the ***E&E*** sector with a platform on which to embed environmental and energy efficiency initiatives. In the upcoming CPD, the CO could consider merging ***E&E*** and ***diversification*** activities, given their complementary nature (depending on whether diversification activities will be active by that time). The CO should also explore the feasibility of integrated work plans elaborated at the regional/local level and matched with the CO's plan at the national level. Such an area-based approach will enable UNDP to weave more effectively cross-cutting issues

(such as energy efficiency, citizen engagement, transparency and accountability, gender equality) into other thematic activities (i.e. community development, service delivery, etc.). Stronger synergies may also be forged with international organizations at the sub-national level, which may also provide increased funding opportunities. UNDP can also support local authorities to facilitate more effectively donor coordination at the sub-national level. A crucial step in achieving a higher level of programme integration and consolidation at that level could be the development of a clearer strategy for how UNDP should structure itself and operate at the sub-national level.

4. *Policy implementation*

The CO should further strengthen its focus on implementation, by thinking beyond just the passing of laws and strategies, and considering measures that consolidate organizational structures that will implement those laws and strategies. This includes actions like the creation of organizational structures, staffing organizations and allocating funding for their operations, training management and staff to implement policies, etc. The sector team has already been doing a lot of this, but the point here is to promote a mentality shift in the programme and within the government away from “form” (how a piece of law looks like) to functionality (how a law is implemented and what effects it produces). From this perspective, it is important that the team consider how the capability of government organizations is built and changes. For this, the CO should develop RBM systems that track implementation parameters linked to functionality and outcomes rather than form and inputs/outputs and assess more rigorously the sustainability of achievements. Project documents should contain clear criteria related to performance based on a strategy for achieving and demonstrating results. Achieving this focus on functionality and outcomes is difficult when considering the short timeframes of UNDP projects, but it is not impossible. What is important is the mentality shift which implies that UNDP staff start designing and implementing projects with these *implementation* considerations in mind.

5. *Co-financing*

The CO has had good results when it comes to co-financing. For projects that involve infrastructure investments it is essential to keep pushing for stronger competitive/market mechanisms to ensure the sustainability and scale of initiatives. Overall, the recommendation here is to stay on the same path and not backtrack, because market-based solutions to infrastructure problems are essential for their sustainability. Instead of providing grants, UNDP should keep strengthening incentives that promote access to international financial institutions and banks for finance.

6. *Awareness Raising*

In the area of awareness raising and information sharing, the CO should reassess its approaches, methods and results more strategically. This is an area where there have been significant shifts in research and practice recently and it is time for UNDP to upgrade its approach. First, the CP should recognize that information sharing and awareness raising are done for a simple reason – to change behavior. So, when designing information campaigns and events, it is important to ask what

behavior and whose behavior the programme or project is seeking to change. This requires careful thinking about the behavior the programme/project seeks to promote and the agents whose behavior it wants to change. As a next step, it is also important to understand what type of information and what channel of information has the potential to change the identified behavior in the target group. The way the information is packaged matters a lot, but who carries the information and how that person is perceived by the target group matters even more. In this sense, it is important to understand whose opinion matters for the target group and how that opinion can be constructed and used to influence behavior. It is also important to recognize that individuals operate in a social environment and that human behavior is largely influenced by social norms set by the community in which an individual is embedded. So, to change an individual's behavior, it is important to understand the prevailing social norms in his/her community and the factors that shape those social norms. This is something that the CO could examine a bit more closely in the context of the development of the new CPD and new projects.

CHAPTER 1: EVALUATION PURPOSE AND METHODOLOGY

This chapter will provide a brief overview of the evaluation's objectives and scope, the methodology and the process that was followed for the preparatory phase, data collection, data analysis and finalization of the report. It will also outline major limitations that were encountered during the evaluation.

1.1. OBJECTIVE AND SCOPE

This report presents the findings of an independent evaluation of what is described as the “energy and environment” outcome area in UNDP Kazakhstan’s Country Programme Document (CPD) 2016-2020. UNDP’s CPD is an integral part of the larger UN framework called Partnership for Development (PFD) 2016-2020. PFD is the operational plan of the UN system in Kazakhstan and is guided in turn by the government’s Kazakhstan 2050 Vision. UNDP’s “energy and environment” outcome area is called Outcome 19 in the CPD and corresponds to Outcome 5 in the UN’s PFD. It states that *“by 2019, legal and strategic frameworks are enhanced and operationalized to ensure sustainable management of natural, cultural and energy resources”*.

The evaluation’s primary objective is to review and assess the results and role of UNDP activities in the energy and environment area and their contribution to the country’s development results in the 2016-2018 period. It was commissioned by UNDP Kazakhstan based on the Terms of Reference included in Annex II of this report and designed to achieve the following purposes:

- Serve as an instrument of quality assurance for UNDP activities and initiatives at the country level;
- Contribute to learning at the country, regional and organizational levels;
- Provide UNDP with inputs for the development of the new Country Programme; and,
- Support the country office’s accountability in its reporting to the Kazakh government, civil society partners, donors, UNDP Executive Board, and other stakeholders and partners.

This document provides an independent assessment of the achievements, constraints, performance, results, impact, relevance and sustainability of UNDP’s activities under the “Outcome 5 of the Country Programme Document”. It also generates lessons from experiences in the respective interventions for the duration of the Country Programme and provides recommendations on how UNDP may improve its programming, partnership arrangements, resource mobilization strategies, working methods and management structures. The evaluation also assesses UNDP’s strategic positioning in the country based on its strengths and comparative advantage. Being forward-looking in nature and designed to help the formulation of the new country programme, this evaluation also identifies whether past results represent sufficient foundation for future progress in the same areas and provides recommendations on what the energy and environment programme could look like in the new programme cycle.

1.2. METHODOLOGY

The evaluation methodology was developed in line with the evaluation manual and the ethical guidelines compiled by the United Nations Evaluation Group, as well as the guidance provided by UNDP in its “Handbook on Planning, Monitoring and Evaluating for Results”.

The evaluation assessed primarily UNDP’s contribution to development results in the energy and environment spheres through its programme outcomes and strategies. It examined key intended and unintended outcomes of the programme. Strategies pursued by UNDP were evaluated for their consistency with the needs of the country in achieving development goals. The analysis of outcomes and the projects that contributed to them formed the basis for evaluating the UNDP role and positioning in Kazakhstan’s development context. The evaluation used a set of evaluation criteria and a number of questions organized in the manner shown in the box below.

Evaluation Criteria:

Relevance: How relevant was the UNDP programme to the national development challenges and priorities as identified by the government in line with best practices of development? Was the UNDP programme aligned with the national priorities, strategies and development goals? Were there any obvious gaps that UNDP’s programme could have addressed but did not address? Did the UNDP programme respond appropriately and flexibly to Kazakhstan’s evolving situation and development needs?

Effectiveness: How effective was UNDP in achieving its outcomes? What results, positive or negative, intended or unintended, were generated. What longer term effects (outcomes) were achieved or what progress was made towards their achievement? To what extent these outcomes were a result of UNDP’s involvement? Would these outcomes have happened if UNDP has not been involved? Did the UNDP programme initiate dynamic changes and processes that contributed to long-term outcomes?

Efficiency: Did UNDP make good use of its financial, institutional and human resources? Could it have achieved more with the same resources or made the same contributions with fewer resources? How could resources have been used better (with more impact)? Were there any identified synergies between UNDP initiatives that contributed to reducing costs while supporting results? Were there overlaps in what UNDP did with other organizations? If so, in which areas? How did UNDP coordinate with other UN organizations?

Sustainability: Were the results to which UNDP contributed sustainable? Did UNDP outcomes contribute to long lasting outcomes? What indications are there that the UNDP programme outcomes will be sustained, e.g., through requisite capacities (systems, structures, staff, etc.)?

The evaluation also assessed UNDP’s strategic positioning in the areas of energy and environment in Kazakhstan on the basis of its comparative advantages and the specific strategies it used to support the country’s efforts towards development.

1.3. EVALUATION PROCESS

The evaluation consisted of the following steps: planning and preparation, data collection, results-based analysis, report writing and consultations.

- The planning and preparation phase included the development of the terms of reference (by the country office) and the design of the evaluation framework. The evaluator developed a detailed programmatic and geographic scope of the evaluation activities, evaluation visits, as well as sample interview guides for interviews.
- The second phase consisted of data collection. The evaluation used a mixed method approach, using different methods and collecting data from different sources (secondary and primary), including interviews (face-to-face and telephone), desk reviews of available documentation and information, and field visits. The largest part of information was collected during the country mission and field visit which took place between 21 and 26 October 2018 to Astana and Kyzylorda.¹ During this mission, the evaluator reviewed additional documents and conducted interviews, site visits, and preliminary analyses. The evaluator developed interview guides (list of questions) for use during the evaluation visits. Stakeholders met included UNDP staff, representatives from government agencies, local authorities and communities, development partners, private sector, NGOs, donor organizations, UN agencies, etc. Efforts were made to meet a wide range of stakeholders and programme partners, in particular to address any limitations pertaining to areas where programme documentation and monitoring had not been sufficient. Data and information collected from various sources and methods were triangulated to strengthen the validity of findings. The following secondary data was reviewed:
 - Background documents on the national context, including national strategies and policies prepared by the government and documents prepared by international partners during the period under review;
 - Country programme documents and project documents for completed, ongoing or proposed UNDP projects, including preparatory phase documents, annual reports and financial data;
 - Country office reviews of the country programme and annual reporting; and
 - Independent research reports and academic publications on various subjects about Kazakhstan.
- The third phase consisted of data analysis. The analysis phase involved a number of complementary components. First, the evaluation reviewed progress towards the relevant outcomes and the main outputs based on indicators included in the Country Programme Document. The evaluation considered the indicators at the outcome and output level and whether they captured fully the achievements and change brought about by the programme. If not, the evaluation delved further into the programme, considering outputs produced and

¹ The list of stakeholders interviewed for this evaluation can be found in Annex I of this report.

change brought about by individual projects and related outputs. Second, the method of triangulation was used to verify the information gathered from the documentary review (both those produced by UNDP and by third parties) and the interviews. It involved developing a method for checking the reliability of findings through multiple data sources, bringing as much evidence as possible into play from different perspectives in the assessment of hypotheses and assumptions. In the assessment of the outcomes an attempt was made to attribute the results to the projects/programme when feasible: when not feasible, contribution analysis was used.

- The fourth phase involved further analysis based on the feedback from the country office and the preparation of the final version of the evaluation report.

1.4. LIMITATIONS

UNDP Kazakhstan, and in particular the E&E sector team, has been very cooperative throughout the evaluation process and has worked hard to provide all the information that was required. One limitation worth noting in this report is the limited number of days allocated by the CO for this evaluation – a total of 25 working days. This is not sufficient for this type of evaluation. Also, the one week allocated for the field work was not enough for having the breadth of meetings that were required. At least two weeks would have been necessary to have had the right amount of time for interviews with the sector team, project staff and project partners. Also, more project sites would have been useful to visit outside of Astana and Kyzylorda. In the future, it is highly recommended that the CO take this into consideration when conducting evaluations of this nature.

CHAPTER 2: SITUATION ANALYSIS²

In his 2018 annual address, Kazakhstan's President emphasized the importance of human capital development as "the foundation of modernization," furthering energy efficiency agenda in all sectors as a means for greening the economy, and developing "smart cities for a smart nation." The President's statement reaffirms that the country's overarching strategic framework, "Kazakhstan 2050", which serves as the country's long-term vision. Kazakhstan 2050 is complemented by the Nurly Zhol programme (Path to the Future),³ which lays out a host of measures targeted at infrastructure development, and "100 Concrete Steps to Implement Five Institutional Reforms",⁴ which is a plan of specific measures that implement the 2050 vision.

In the area of environmental protection, the country's main strategic document is the "Green Economy Concept"⁵ adopted in 2013 which outlines the country's transition towards a more diversified and greener economy and sets specific targets on renewable energy and greenhouse gas (GHG) emissions. The implementation of environmental objectives has been further supported by a programme called "Zhasyly Damu" (Green Growth) which was adopted by the government in September 10, 2010⁶ and later converted into sectoral programmes, including the National Biodiversity Strategy and Action Plan (whose development was supported by UNDP). Other relevant programmes and strategies have been developed by line ministries in their areas of activity – i.e. State Programme for the Development of Agricultural Sector for 2017-2021, strategic plans of Ministry of Energy, Ministry of Investment and Development, Ministry of Agriculture, etc.

Being a signatory to major international and regional agreements, Kazakhstan is committed to fulfilling a range of international obligations. Kazakhstan has ratified the Convention on Biological Diversity (CBD) on 9 June 1994, and the Convention to Combat Desertification and Drought on 9 July 1997. It has also ratified a number of related protocols under the Rio Conventions, including the Cartagena Protocol on Biological Safety (8 September 2008) to protect biodiversity from the potential risks posed by genetically modified organisms that are the product of biotechnology, etc. In 1995, Kazakhstan ratified the UNFCCC as a non-Annex I party, and in 1999 committed to limit GHG emissions and accept a binding and quantified emission limitation of 100% over a 1992 baseline. The Kyoto Protocol was ratified on 19 June 2009, committing to stabilize greenhouse gas emissions for the period 2008-2012 at the 1990 level". Further, in 2010 Kazakhstan announced and communicated to the Parties its additional voluntary commitments to reduce GHG emissions by 15% by 2020 below 1990 emissions and by 25% by 2050. In 2015, Kazakhstan submitted its Intended Nationally Determined Contribution (INDC) to UNFCCC, which represented a milestone

² This section uses text and information from various documents related to UNDP projects covered by this evaluation.

³ Nurly Zhol was announced on 11 November 2014 during the President's State of the Nation Address.

⁴ The "100 Concrete Steps" were announced by the President in May 2015.

⁵ Concept of transition of the Republic of Kazakhstan to the "green economy" was approved by the Decree of the President of the Republic of Kazakhstan on May 30, 2013.

⁶ Zhasyly Damu was interdisciplinary in nature and focuses on the application of the principle of a progressive 'green economy' that minimizes the environmental impact of economic growth. It addresses many complex issues, including GHG emissions, air pollution, waste generation, water consumption, and protection of natural ecosystems.

in reinforcing the country's commitment to the targets under the Green Economy Concept.⁷ Through its INDC, Kazakhstan reconfirmed its intention to reduce the economy-wide GHG emissions by 15% to 25% towards 2030 compared to the 1990-level. The INDC explicitly referred to the Green Economy Concept, and identified the link between development priorities outlined in the concept and the mitigation targets expressed in the INDC, especially on energy saving and renewable energy development. In 2009, Kazakhstan submitted its National Implementation Plan (NIP) to the Secretariat of the Stockholm Convention on Persistent Organic Pollutants (POPs), in which the new POPs and the unintended produced POPs (uPOPs) were not included.

The main problems in the area of environment and energy efficiency that this body of policies and agreements is intended to address are the following:

- Increasing number of natural disasters and consequent economic losses
- Loss of biodiversity
- Increase in CO₂ emissions from traditional sectors
- Land and soil degradation and salinization
- Decreasing irrigation and drinking water
- High dependence on fossil fuels
- Poor waste management
- Lack of technical and technological capacity

It is internationally recognized that Kazakhstan has unique opportunities to develop a green economy. The current economic growth is mainly driven by economic targets with a small consideration of environmental impacts on natural ecosystems and wildlife. This inevitably leads to the loss of biodiversity and habitats which comprise the natural assets of the country. Ignoring these assets leads to reduced valuation of the overall economic value of the country.

One of the most important conditions for efficient management of the natural resources is well organized information flows, including clear mechanisms for biodiversity data collection, analysis, and integration into management decisions. This information should give comprehensive, science-based data on the status of natural resources, use types and trends, investments and income. The policy should have mechanism for integrating natural assets into economic and social indicators that affect the decision making processes at all levels. This requires new approaches and tools in planning, monitoring, conservation and use of the natural resources.

An estimated 82% of all land types in the country is subject to erosion. The main economic consequences of desertification and land degradation are reduced agricultural yields and crop production; decreased cattle and camel stocks and declining profitability of animal husbandry; decreased export capacity of agriculture; stagnation of the agribusiness sector; and a sharp decrease

⁷ [http://www.oecd.org/env/outreach/Discussion%20notes%20for%20KAZ%20GAP%20Meeting%20-\(Oct%202016\)%20ver02.pdf](http://www.oecd.org/env/outreach/Discussion%20notes%20for%20KAZ%20GAP%20Meeting%20-(Oct%202016)%20ver02.pdf)

in tax revenue from the agricultural and food processing sectors. The total annual economic loss due to a mixture of land degradation and poor agriculture management in Kazakhstan is estimated to be around \$700,000,000, with poor households paying the highest price. The southern arid regions of Kazakhstan are particularly prone to desertification with about 75% of arable and pasturelands ranked with a desertification index of high to very high.⁸

In the meantime, it is estimated that up to 15% of agricultural lands are managed in unsustainable ways. The main issues in the crop production sector include monoculture cropping and poor diversification of agricultural crops that result in decreased land fertility, water and wind erosion; disunity of farms and small plots of lands that make it harder to apply crop rotation and use modern resource-saving technologies; obsolete state of irrigation networks resulting in salinization of irrigated arable lands and decrease in crop yields; low percentage of the use of water saving technologies (e.g., drip irrigation, moistening, overhead irrigation); insufficient dissemination of knowledge on new and more efficient technologies and lack of farmer training; limited access to low cost credits for medium and small holders; and imperfect legislation concerning sustainable land management requirements and agrochemical monitoring. On the livestock side, pasturelands in Kazakhstan are affected by uneven use, but including over used pastures, mostly located around settlements that are highly degraded.

Sustained, heavy grazing of livestock is one of the main causes of habitat destruction across the majority of arid and semi-arid rangelands across the globe and the deserts of southern Kazakhstan are no exception. This has been exacerbated by the replacement of sheep by goats (largely for economic reasons). As elsewhere, the results of overgrazing are loss of vegetation cover, vegetation changes towards unpalatable “grazing weeds” and increased erosion (primarily wind but also water erosion). In some areas (e.g., on the Ustyurt plateau), there is the formation of salinized or “solonchak” lands. Overgrazing is particularly prevalent in the vicinity of villages and settlements. The impacts of overgrazing are also prevalent in vulnerable poplar (*Populus pruinosa*) and tugai forests in the Ile delta; these ecosystems have as a consequence become degraded.

From a legislation side, sustainable land management (SLM) is not specified in national legislation. Instead, the notion of the rational use of land resources is widely used. Unlike SLM, social and ecosystem dimensions of land use and management are not applied in the rational use principle. Currently, almost all legislation that regulates land use and management in Kazakhstan refers to the rational use principle. The long-term solution for sustainable land management of agricultural systems in the steppe, semiarid, and arid zones of Kazakhstan involves the development of a highly strategic landscape- and ecosystem based approach to territorial planning that is backed by a well-designed agro-environmental incentives scheme, and by an adequate policy and legal framework.

⁸ Paragraph’s source is the Mid-Term Review Final Report for the UNDP project “Supporting sustainable land management in steppe and semi-arid zones through integrated territorial planning and agro-environmental incentives”.

While Kazakhstan has recently attained the status of a middle-income country, it remains dependent to a large extent on revenues from the sale of oil and other fossil fuels. It is also the largest GHG emitter and second most energy intensive country in the region. There is a considerable potential for improving energy efficiency in industry, housing and transport sectors.

A key aspect in the gradual transition to a green economy is energy efficiency (EE). Since 2012, many legislative acts, defining the basic requirements in the field of EE were adopted, including the Law “On Energy Saving and Energy Efficiency” (2012) and the “Program on Energy Saving and Increasing Energy Efficiency 2020”, setting at least 40% energy intensity reduction target until 2020. The latter program implemented in five main directions with energy efficient lighting being among them, was adopted in support of implementation of the Law on Energy Saving and Energy Efficiency (2012). This direction envisages a step-by-step transition to LEDs, modernization of street lighting in cities and communities, and 60% reduction of electricity consumption by the lighting sector in the whole country. In this regard, the Government sees the successful implementation and enforcement of the existing legislative framework, as its main task.

With regards to Persistent Organic Pollutants listed in the Stockholm Convention, there are very limited data concerning their use and production in Kazakhstan, with the exception for limited information on the presence of pesticide stocks. Currently, there is no indication concerning the use of new POPs of industrial relevance in the country’s industry due to lack of requirements for data collection and reporting. The legislative control over chemicals and waste management in Kazakhstan is rooted in the Environmental Code that provides an overarching framework for establishing regulatory controls for further enforcement measures. The document establishes general provisions and principles for building a national environmental management system, including those aspects directly related to sound handling of chemicals and wastes. It further plans for harmonization of national legislation with existing international norms and standards, and particularly with EU environmental directives. The country has no established inventory and monitoring system for uPOPs and new POPs, lacked emissions and release standards for uPOPs and heavy metals respectively, and had limited linkages between various sector legislation, such as healthcare and environment, and no guidelines on, and enforcement of control measures over, uncontrolled uPOPs releases and incineration.⁹

⁹ Source: Project Document “NIP update, integration of POPs into national planning and promoting sound healthcare waste management in Kazakhstan”.

CHAPTER 3: PROGRAMME OVERVIEW

This section provides a short overview of the activities of UNDP Kazakhstan that have taken place during the 2016-2018 period under *Outcome 2* in the Country Programme Document (CPD) which corresponds to the area of “Energy and Environment” (E&E). The objective of the overview is to outline the boundaries of this sector, identify major activities that have taken place within these boundaries, describe the objectives these activities, and provide a programme-level description of the sector’s key parameters, such as implementation timelines, budgets, sources of funding, organizational structure, organization of the portfolio, etc. This overview places the analysis presented in the successive sections on a sounder context.

3.1. OVERVIEW OF ACTIVITIES

In the course of the 2016-2020 programme cycle, UNDP Kazakhstan has been implementing a total of 24 projects that may be categorized under the label “E&E”. These projects correspond to “Outcome 2” of the CPD and will be referred to as the ***E&E sector*** in this report. The full list of these 24 projects is shown in Annex IV at the end of this report. It should be noted, however, that not all of these 24 projects are subject to this evaluation. The CO chose to include in this outcome evaluation only 13 projects (ongoing and completed at the point of the evaluation which took place in November 2018). Table 1 below shows the 13 projects that fall under the scope of this evaluation. Given that the names of these projects will be used extensively throughout this report, they will be referred to by an abbreviated version of their title which is also shown in Table 1.

Table 1: List of E&E projects that fall under the scope of this evaluation

No.	Project Title	Abbreviated Project Name	Donor
1	Improving sustainability of the PA system in desert ecosystems through promotion of biodiversity-compatible livelihoods in and around PAs	Desert Project	GEF
2	Improvement of the decision-making process in Kazakhstan through introduction of mechanisms of economic assessment of fulfilling national obligations under global environmental agreements	CB2	GEF
3	Providing Assistance to the Government of Republic of Kazakhstan to Implement the Green Economy Transition Concept of Republic of Kazakhstan and Institutionalize the Green Bridge Partnership Programme	Green Bridge	Gov. of Kazakhstan
4	Nationally Appropriate Mitigation Actions for Low-carbon Urban Development	Sustainable Cities	GEF
5	Improvement of housing relations system to leverage investments and development of small and medium enterprises for housing sector	Housing Management	Gov. of Kazakhstan

No.	Project Title	Abbreviated Project Name	Donor
6	Supporting sustainable land management in steppe and semi-arid zones through integrated territorial planning and agro-environmental incentives.	SLM	GEF
7	Energy Efficient Standards, Certification, and Labelling for Appliances and Equipment in Kazakhstan	EESL	GEF
8	Promotion of Energy-Efficient Lightning in Kazakhstan	EEL	GEF
9	Minamata Initial Assessment for Kazakhstan	MIA	GEF
10	NIP update, integration of POPs into national planning and promoting sound healthcare waste management in Kazakhstan	Medwaste	GEF
11	Supporting Kazakhstan's transition to a green economy model	Green Economy	EU
12	Development of Kazakhstan's National Communication to the UNFCCC and Biennial Report	7NC	GEF
13	City of Almaty Sustainable Transport	CAST	GEF

Although the 11 E&E projects that were not included in this evaluation were ongoing at the point of evaluation, they were considered either too small in budget and scope of activities, or very recent to have had any impact – having started in 2017, or of a regional nature, which means that the leading agency was not UNDP Kazakhstan. Table 2 shows the largest projects that were not included under the scope of this evaluation, whereas Annex IV at the end of this report shows the full list.

Table 2: Largest E&E Projects not Included in this Evaluation

Project Name	Budget
Building Transformative Policy and Financing Frameworks to Increase Investment in Biodiversity Management	US\$ 0.6 m
Capacity building: Rehabilitation of Irrigation and Drainage	US\$ 0.9 m
Enabling Transboundary Cooperation and Integrated Water Resources Management in the Chu and Talas River Basins	US\$ 1 m
De-risking Renewable Energy Investment	US\$ 4.5 m
Conservation and sustainable management of key globally important ecosystems for multiple benefits	US\$ 8 m

The timelines of all 13 projects that are part of this evaluation are shown in Figure 1 on page 20. As can be seen from the figure, there is no exact overlap between the CPD cycle (2016-2020) and project timelines. The following is a summary of project timelines in relation to the CPD cycle.

- Six of the 13 projects were closed at the point of the evaluation. These were: *Desert Project*, *CB2*, *Green Bridge*, *EEL*, *Medwaste*, and *CAST*. Additionally, the *Green Economy* project was in the process of closing down at the point of this evaluation.
- Ten of the 13 projects – the *Desert Project*, *CB2*, *Green Bridge*, *Sustainable Cities*, *SLM*, *EEL*, *Medwaste*, *Green Economy*, *7NC* and *CAST* projects - originated from the previous programme cycle (2011-2015) and continued into the current cycle (2016-2020).
- Three projects - *Housing Management*, *EESL* and *MIA* - have had their starting point in the current cycle.
- Only one project has their starting and ending points within the current programme cycle (*Housing Management*).
- Two projects continue into the next programme cycle (*Sustainable Cities* and *EESL*).
- Only two projects have received or are expected to receive extensions during the current cycle (*Sustainable Cities* and *CAST*).

3.2. FINANCIAL OVERVIEW

Table 3 shows the respective donors for each of the 13 projects. This is a sector largely relying on the Global Environment Facility (GEF) for funding. In this bundle of 13 projects, GEF has funded ten, followed by the Government of Kazakhstan (GoK) with two and the European Union (EU) with one.

Table 3: Project Donors

No.	Projects	Donor
1	Desert Project	GEF
2	CB2	GEF
3	Green Bridge	Gov. of Kazakhstan
4	Sustainable Cities	GEF
5	Housing Management	Gov. of Kazakhstan
6	SLM	GEF
7	EESL	GEF
8	EEL	GEF
9	MIA	GEF
10	Medwaste	GEF
11	Green Economy	EU
12	7NC	GEF
13	CAST	GEF

Table 4 shows the financing sources of the 13 projects. The total amount of funding contributed by donors for all projects is about US\$ 40 m.¹⁰ Based on project documents, UNDP has committed about US\$ 185,000 of its own core resources to these projects, which constitutes less than 1% of the total funding provided by donors. At the project level, UNDP has provided modest cash contributions to only three projects – *Sustainable Cities*, *EEL* and *Medwaste*.

Table 4 also shows the amount of contributions expected from the government (national and subnational levels) and other sources (primarily the private sector) as agreed in signed project documents. This is mainly cost-sharing for various demonstration pilots designed to take place under the projects. For the 13 projects, the amount of financing expected from government sources is more than US\$ 153 m. Further, more than US\$ 90 m is expected from other sources, including the private sector. For some projects, government co-financing constitutes a significant part of the resources expected to be spent under the project – for example, in the *Medwaste*, *CAST*, and *Sustainable Cities* projects, the government is expected to contribute more than US\$ 30 m, whereas in the *EEL* project government counterparts were expected to contribute more than US\$ 27 m. These are significant amounts – combined for the whole bundle of 13 projects they represent almost four times the total amount provided by donors and UNDP combined. However, as will be discussed further in this report, not all this amount of financing has materialized yet.

Table 4: Project Financing

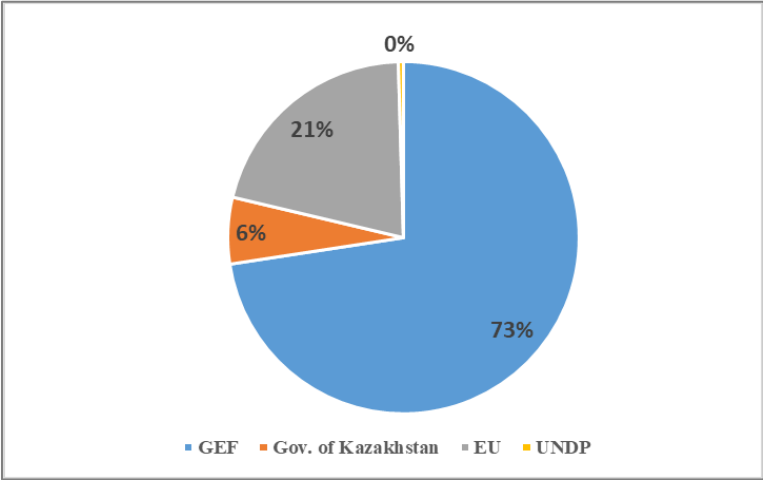
No.	Project	GEF Contributions (cash)	Other Donor Contributions (cash)	UNDP Contributions (cash)	UNDP Contributions (in kind)	Gov. Contributions (in kind)	Other/Private Sector Contrib. (in kind)
1	Desert Project	4,364,000	0	0	700,000	12,629,954	5,849,339
2	CB2	500,000	0	0	50,000	500,000	0
3	Green Bridge	0	1,433,894	0	197,047	0	0
4	Sustainable Cities	5,930,000	0	60,000	0	30,893,435	33,435,659
5	Housing Management	0	1,008,222	0	860,220	0	0
6	SLM	1,900,000	0	0	700,000	6,630,220	1,665,702
7	EESL	3,500,000	0	0	300,000	10,510,511	1,432,132
8	EEL	3,400,000	0	50,000	0	27,403,502	1,168,836
9	MIA	400,000	0	0	0	0	0
10	Medwaste	3,300,000	0	75,000	100,000	34,315,820	521,958
11	Green Economy	0	8,333,000	0	0	0	0
12	7NC	852,000	0	0	60,000	796,768	0
13	CAST	4,886,000	0	0	50,000	30,050,000	46,426,000
Total		29,032,000	10,775,116	185,000	3,017,267	153,730,210	90,499,626

Focusing on project funding, it is obvious that for the period in question this cluster has relied primarily on one major donor – GEF (see Figure 2 below). With a total of about US\$ 29 m, GEF has provided 73% of the total financing for the cluster. GEF funding has been channeled through 10 projects, the largest of which have been *Sustainable Cities*, *CAST* and *Desert Project* (between US\$ 4 and 6 m each). *EESL*, *EEL* and *Medwaste* have received between US\$ 3 and 4 m each, whereas the rest less than US\$ 3 m. Also, the EU has provided more than US\$ 8 m, which

¹⁰ It is important to bear in mind that, given that some of the projects originated from or continue into a different programme cycle, not all of the 40 m USD is meant to be spent during the 2015-2019 cycle.

constitutes 21% of total financing for the sector. This contribution has been channeled through the “*Green Economy*” project which has been going on since 2015. A smaller in-cash contribution of about US\$ 2.5 m has been provided by the Government of Kazakhstan through two projects – *Green Bridge* and *Housing Management*. This funding represents about 6% of the whole cluster.

Figure 2: Sector Financing by Source



Financial contributions by project are shown in Figure 3 below. A couple of observations can be derived from this figure. First, for the whole cluster UNDP contributions are quite small compared to donor contributions, which highlights the sector’s donor-driven nature. Second, projects with the largest budgets are *Green Economy*, *Sustainable Cities*, *CAST* and *Desert Project*. Clearly, for UNDP’s environmental projects, GEF is a crucial funding source, but also the Kazakh Government has offered important contributions which provide scale and stability.

Figure 3: Financial Contributions by Project

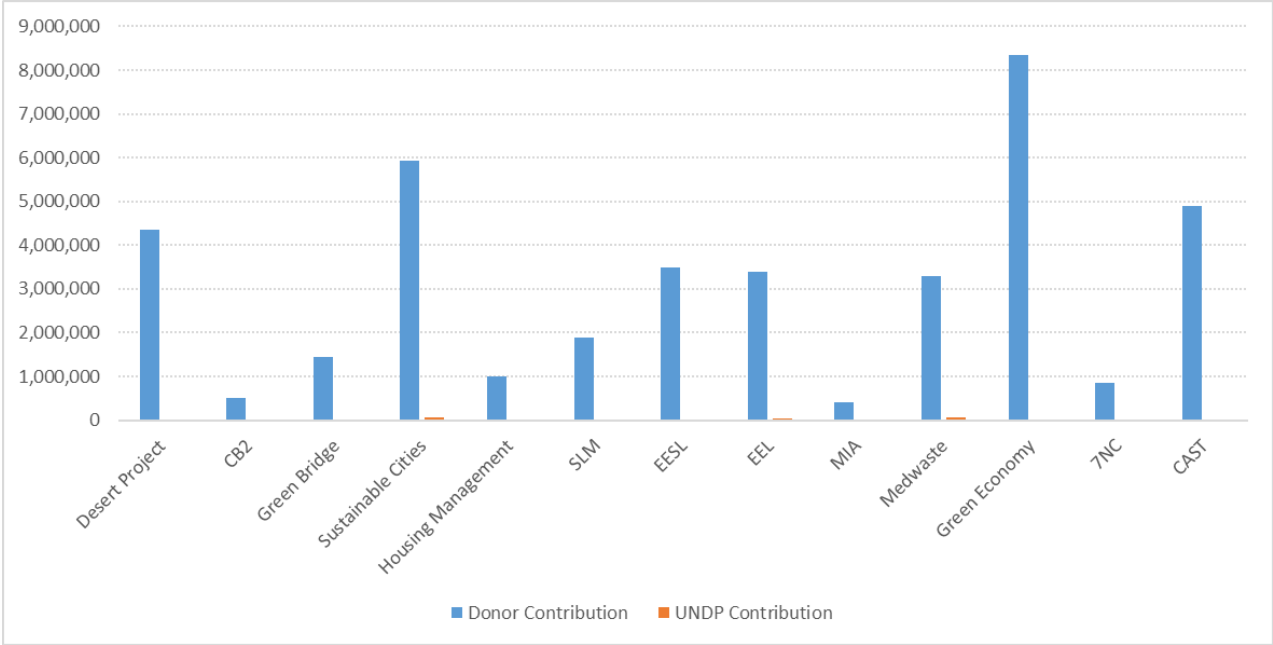


Table 5 on page 29 shows the projects' budgets and expenditures for each year in the three-year period (2016-2018). A number of observations can be drawn from this table. First, the amount of money spent on the cluster during the 2016-2018 period (as of November 2018) has been about US\$ 22 m, out of about US\$ 25 m budgeted by the CO for the same period, which implies an execution rate of about 90%. In this period, 2017 has seen the highest amount of spending – about US\$ 10 m – with a drop to about US\$ 5 m in 2018 (by November). Overall, spending in this period has varied between US\$ 5 m and 10 m, reflecting the volatile nature of donor funding which makes up the lion's share of project budgets. Second, budget execution has been good, with the exception of 2016, when there was a gap of about US\$ 1.7 m between what was budgeted and spent. Overall, the execution rate for the three years in question has been 90%.

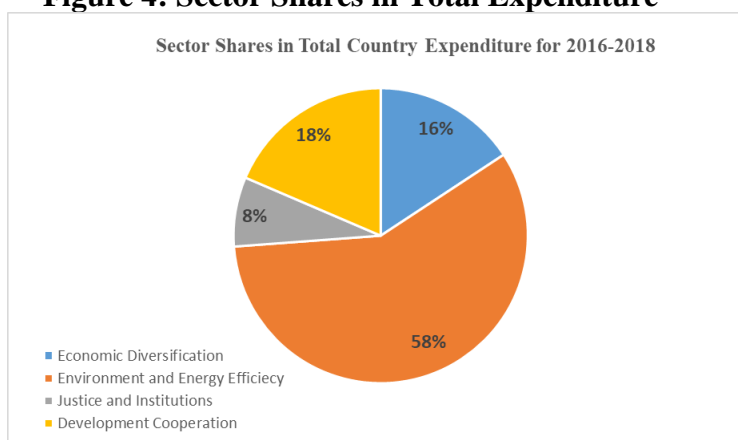
It is also useful to place the E&E sector¹¹ against the larger programme context by looking at E&E expenditures as a proportion of overall programme spending. As shown in Table 5 and Figure 4 below, for the 2016-2018 period, total programme spending of UNDP Kazakhstan was about US\$ 41 m, of which more than 50 % (or US\$ 23 M) was spending by the E&E sector.

Table 5: Budgets and Expenditures for all Programme Sectors

Programme Sectors/Outcome Areas	Budget under CPD (5-year period)	Expenditure as of Nov. 2018 (since 2016)	Expenditure as percentage of Budget
Economic Diversification	12,155,000	6,508,000	54%
Environment and Energy Efficiency	22,730,000	23,992,000	106%
Justice and Institutions	12,695,000	3,147,000	25%
Development Cooperation	13,190,000	7,670,000	58%
All programme	60,770,000	41,317,000	68%

E&E is by far the largest sector in the country programme. It is also worth noting here that compared to what was planned at the time of the development of the CPD, the E&E has already in 2018 exceeded the budget, while the other sectors are still at a level between 25 and 60%.

Figure 4: Sector Shares in Total Expenditure



¹¹ It should be noted that here we are looking at the whole E&E sector, not just the cluster of 13 projects that fall under the scope of this evaluation.

Figure 1: Project Timelines

Figure 1: Project Timelines

PROJECTS		CPD Period																				Non-CPD Period							
		2016				2017				2018				2019				2020				2021				2022			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
1	Desert Project																												
2	CB2																												
3	Green Bridge																												
4	Sustainable Cities																												
5	Housing Management																												
6	SLM																												
7	EESL																												
8	EEL																												
9	MIA																												
10	Medwaste																												
11	Green Economy																												
12	7NC																												
13	CAST																												



 Regular Implementation
 Extension

Table 5: Projects' Budgets and Expenditures by Year

No.	Project	2016 Budget	2016 Expenditure	2017 Budget	2017 Expenditure	2018 Budget	2018 Expenditure (as of Nov 2018)	Total 3-Year Budget	Total 3-Year Expenditure	Execution Rates
1	Desert Project	943,539	889,434	759,809	730,041	446,012	440,012	2,149,360	2,059,487	96%
2	CB2	127,188	126,781	258,782	256,015	0	0	385,970	382,796	99%
3	Green Bridge	628,100	312,562	516,088	506,920	0	0	1,144,188	819,482	72%
4	Sustainable Cities	685,355	565,403	683,350	614,812	829,658	769,658	2,198,363	1,949,873	89%
5	Housing Management	0	0	52,000	51,797	957,196	957,196	1,009,196	1,008,993	100%
6	SLM	898,719	347,612	738,503	697,804	305,732	305,732	1,942,954	1,351,148	70%
7	EESL	0	0	170,300	17,205	737,500	737,500	907,800	754,705	83%
8	EEL	715,000	695,520	385,472	383,047	0	0	1,100,472	1,078,567	98%
9	MIA	0	0	16,504	16,155	324,960	324,960	341,464	341,115	100%
10	Medwaste	1,586,285	1,566,520	800,470	794,411	0	0	2,386,755	2,360,931	99%
11	Green Economy	2,445,847	2,040,226	4,618,655	4,237,779	1,501,393	1,501,393	8,565,895	7,779,398	91%
12	7NC	246,254	244,320	288,803	288,645	154,638	154,638	689,695	687,603	100%
13	CAST	777,676	582,299	1,225,292	1,223,294	0	0	2,002,968	1,805,593	90%

3.3. ACTIVITY AREAS

Another aspect of the cluster that is important to outline and clarify is the positioning and interconnectedness of the 13 projects that comprise it. Although they address issues which on the surface appear distinct from one another, the 13 projects share a number of similar objectives which makes synergetic and interdependent.

To understand actual and potential interconnections and dependencies, the projects have been described and categorized in Table 7 on the basis of the following thematic areas¹² - *biodiversity and natural resource management, climate change and energy efficiency, chemicals and waste management, and water management*.

Table 7: Projects by Area of Activity

No.	Project	Brief Description	Area of Activity
1	Desert Project	The project is aimed at enhancing the sustainability of protected areas (PA) in globally important desert ecosystems of Kazakhstan by expanding PA coverage, promoting landscape approach and supporting biodiversity-compatible livelihoods in and around PAs.	Biodiversity/Natural Resource Management
2	CB2	The project aims to put in place new approaches that will facilitate better development decisions for the environment. Its objective is to develop technical and institutional capacities for undertaking an economic valuation of global environmental goods and services as potentially impacted by proposed development policies, programmes, plans and projects. This included strengthening the appropriate legal instruments to legitimize the long-term use of natural resource valuation. It puts in place the necessary framework: revised wildlife, forestry, and protected areas codes; proposed amendment to Environmental Impact Assessment and piloted the new tools in two sites. Furthermore, the necessary local capacity has been developed and relevant tools have been developed.	Biodiversity/Natural Resource Management
3	Green Bridge	The project aims to assist in practical implementation of the Concept for transition to Green Economy by providing support in forming the institutional and legislative framework, which is necessary in development of such "green economy" areas as solar energy, sustainable fisheries and aquaculture, as well as strengthening of the "Green Bridge" Partnership Programme.	Biodiversity/Natural Resource Management & Energy Efficiency/Climate Change
4	Sustainable Cities	The Project supports the identification, design, and implementation of Nationally Appropriate Mitigation Actions (NAMAs) in the urban sector. NAMAs, consisting of investments in infrastructure supported by capacity	Energy Efficiency/Climate Change

¹² The nine thematic areas used here are rather simple and pragmatic categories. No formal research model underlies these groups.

No.	Project	Brief Description	Area of Activity
		building, awareness raising and technical assistance, contribute to achieving the country's GHG emission reduction voluntary target by 15% by 2020 below 1990 emissions and by 25% by 2050 while improving urban services and the quality of life of citizens in Kazakh towns and cities. The project is the first effort in Kazakhstan to adopt a comprehensive approach to reduce GHG emissions in cities through development of a new financial mechanism to attract investments for low carbon bankable public private partnership projects.	
5	Housing Management	The objective of this project is to increase the investment attractiveness of the housing and utilities sector and modernize and develop it by reforming the existing legal, organizational and financial conditions for housing stock management as well as creating the new ones with the involvement of small and medium-sized business.	Energy Efficiency/Climate Change
6	SLM	This project aims to transform land use practices in critical, productive, steppe, arid and semi-arid landscapes of Kazakhstan, which constitute the vast majority of its territory, thus ensuring ecological integrity, food security and sustainable livelihoods. Building upon the past experience of GEF funded projects' efforts, the project will create a more conducive policy and legal framework for establishment of agro-environmental incentives for sustainable and better integrated pasture and land use planning and management, and build national and local capacity for practical implementation of such planning in the field. Existing best practices and approaches will be replicated at a wider scale within selected representative oblasts namely – Akmola, Kostanai, North and East Kazakhstan oblasts (i.e., the northern steppe zone: forest steppe, meadow steppe and dry steppe ecosystems), and Almaty and Kzyl Orda oblasts (i.e., the southern arid zone: desert and steppe semi-desert ecosystems) of the country.	Natural Resource Management
7	EESL	The project aims to transform Kazakhstan's markets to energy efficient appliances and equipment, thereby reducing electricity consumption and GHG emissions. The project pursues regulations and labelling for the three categories of appliances and equipment with the highest electricity consumption and impact – refrigerators, industrial motors, and distribution transformers.	Energy Efficiency/Climate Change
8	EEL	The objective of the project is to achieve energy savings and avoided GHG emissions via transformation of the lighting market in the Republic of Kazakhstan, including implementation of a phase-out of incandescent lamps, while ensuring product quality and cost-effectiveness as well as safe disposition of spent mercury-containing lamps. The project achieves this objective via four components: 1) policy development and implementation; 2) market	Energy Efficiency/Climate Change

No.	Project	Brief Description	Area of Activity
		development; 3) education and outreach; and 4) demonstration projects embodying best practices and technology.	
9	MIA	The project supports the Government of Kazakhstan to undertake a Mercury Initial Assessment to enable the country to determine the national requirements and needs for ratification of the Minamata Convention and to establish the foundations for undertaking future work towards the implementation of the convention.	Chemicals/Waste Management
10	Medwaste	The Project is reducing emission levels of unintentional released persistent organic pollutants (uPOPs) and other pollutants in the environment by promoting sound healthcare waste management (HCWM) in Kazakhstan and assisting the country in implementing commitments in the framework of the Stockholm convention.	Chemicals/Waste Management
11	Green Economy	The overall objective of the project is to contribute to the long-term environmentally sustainable and inclusive economic development of Kazakhstan through introduction of modern environmental governance system, state-of-the-art water management policies and practices, enhanced environmental impact assessment procedures and economic incentives for sustainable use of water resources.	Water Management
12	7NC	The project enables Kazakhstan to prepare and submit its Seventh National Communication (7NC) and Biennial Report (BR) to the Conference of Parties (CoP) of the UNFCCC in accordance with its commitments as a Party as mandated by Article 12 of the Convention and subsequent CoP decisions.	Climate Change
13	CAST	The project focused on elimination of the barriers to modernizing urban transport in Almaty and proposed interventions in its public transport sector with the main objective of ensuring modal shifts towards more sustainable transport such as public and non-motorized modes. The project aimed to reduce GHG emissions in the transport sector in Almaty by 31 thousand tones of CO ₂ annually from its demonstration project. Interventions were comprised of policy development and capacity building through provision of technical assistance and investment in demonstration activities.	Climate Change (transport)

As can be seen from the table, there are four main areas of cluster activities:

1. ***Biodiversity and Natural Resource Management***: Four projects fall under this category – *Desert Project*, *CB2*, *Green Bridge* and *SLM*. These four projects cover a variety of issues

ranging from the management of protected areas and ecosystems, sustainable livelihoods, environmental impact assessments, land degradation, etc.

2. **Energy Efficiency and Climate Change:** Four projects are focused on energy efficiency, but also related to climate change – *Sustainable Cities*, *Housing Management*, *EESL* and *EEL*. *7NC* and *CAST* are more directly related to climate change, with *7NC* focused on supporting the country’s reporting on climate change and *CAST* focused emissions in the transport sector. The *Green Bridge* project also partly falls into this category because it had a component focused on the promotion of renewable energy (primarily solar).
3. **Chemicals and Waste Management:** Two projects fall into this category – *MIA* and *Medwaste*. *MIA* is focused on mercury waste, whereas *Medwaste* on medical waste.
4. **Water Management:** The area of water management includes only one project – the EU-funded *Green Economy* project. Although based on the activities of only one project, given the significant size of the project budget (more than US\$ 8 m) this area of work represents the largest activity of the CO.

The CO is also in the process of finalizing a National Human Development Report (NHDR) focused on “sustainable cities” and related to Sustainable Development Goal (SDG) 11. Given the thematic focus of the NHDR, the E&E sector has been heavily involved in the process.

It should also be pointed out that while involving all levels of government, this cluster’s activities have had a significant focus on the local (sub-national) level. Table 8 shows the level of engagement for each project.

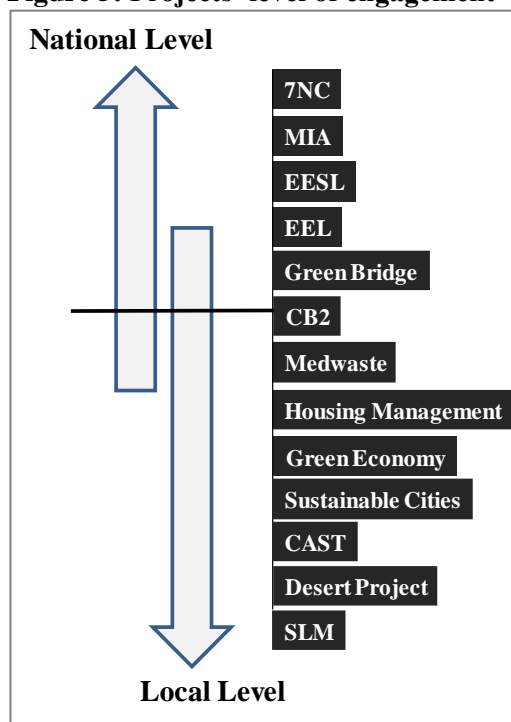
Table 8: Level of Engagement by Project

No.	Project	National Level	Oblast Level	Rayon Level	Akimat Level
1	Desert Project	x	x	x	x
2	CB2	x			
3	Green Bridge	x			
4	Sustainable Cities	x	x		x
5	Housing Management	x			x
6	SLM	x	x	x	x
7	EESL	x			
8	EEL	x			
9	MIA	x			
10	Medwaste	x	x	x	
11	Green Economy	x		x	x
12	7NC	x			
13	CAST	x			x

Figure 5 ranks all projects on the basis of their level of engagement, starting from the grassroots level which involves work with local governments and communities and all the way up to the top

where the interaction has a national character.¹³ As can be seen from the chart, there is a diversity of levels of engagement.

Figure 5: Projects' level of engagement



The *EESL*, *EEL*, *MIA*, and *7NC* projects are primarily focused on the national level. The interventions of *Green Bridge*, *EESL* and *EEL* are mainly targeted at Kazakhstan's legal, institutional and regulatory framework, whereas *MIA* and *7NC* support the country's international reporting capabilities and commitments. *MIA* project, specifically is focused on helping the government to assess the "mercury" situation and accede to the Minamata Convention and the *7NC* project supports the preparation of Kazakhstan's Seventh National Communication and Biennial Report to the Conference of Parties (CoP) of the UNFCCC.

The *EEL*, *Green Bridge*, *CB2* and *Medwaste* projects were primarily supporting the development of the policy and administrative framework at the national level, but has also practical pilot activities on the ground. *Green Bridge* piloted a number of solar energy projects in the Astana and Almaty regions and a fishing farm in the

Aktobe region. *EEL* piloted with municipalities residential recycling schemes for spent mercury-containing lamps. *CB2* piloted in two protected areas a model for the economic valuation of natural resources, whereas *Medwaste* piloted in a number of locations the autoclaving of medical waste.

The *Housing Management* project is more balanced between the national and sub-national level – it does important policy work at the national level, but also supports the development of a housing management framework at the municipal level. Similarly, the *Green Economy* project has played an important role at the national level, improving water management policies and practices (i.e. Transboundary Water Management or Strategic Environmental Assessments), but has also had contributions at the sub-national level through a host of pilot initiatives in several locations.

The *Sustainable Cities*, *CAST*, *Desert Project*, and *SLM* projects play an important role at the sub-national level through pilot and infrastructure initiatives implemented jointly with local governments.

¹³ The ranking of projects in the chart is not based on any rigorous methodology, but is merely of an illustrative nature.

3.4. ORGANIZATION OF THE SECTOR

It is also important to describe how the E&E sector is organized and how it fits into the larger organizational structure of the CO. Overall, the whole CO structure, including the programme and operations components, is headed by the Resident Representative (RR) and Deputy Resident Representative (DRR). A partial version of the CO organigram is shown in Figure 8 below.

The CO programme consists of four outcome areas (based on CPD outcomes):

1. Diversification of the economy provides decent work opportunities for the underemployed, youth, and socially vulnerable women and men.
2. *Ecosystems and natural resources are protected and sustainably used, and human settlements are resilient to natural and human-induced disasters and climate change.*
3. Judicial and legal systems, and public institutions, are fair, accountable and accessible to all.
4. The Government, together with partners, promotes achievement of sustainable development goals in the region, and leads in promotion and implementation of United Nations principles, standards and conventions.

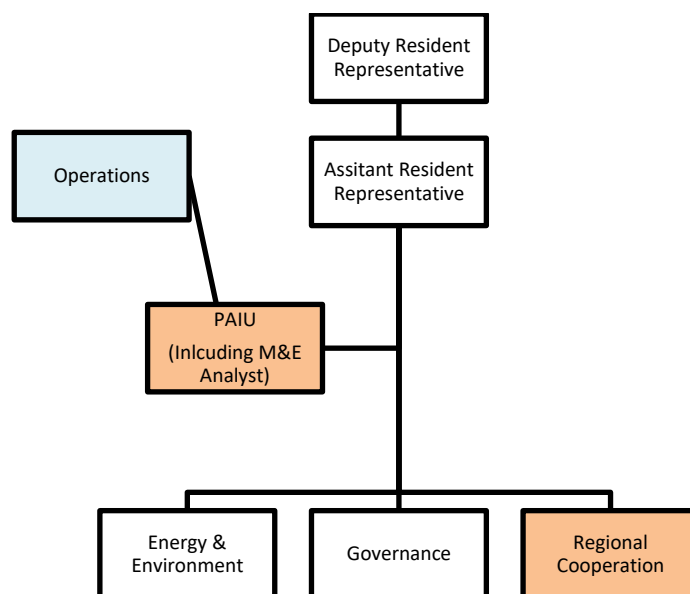
All UNDP projects are organized around these four outcome areas. Although different projects often straddle these outcomes' boundaries, for operational purposes they are categorized in one of these four groups. The first area is related to economic development and job creation and is referred to by CO staff as “*governance for people*”. The second area corresponds to energy efficiency and environmental protection and is referred to as “*sustainable development and urbanization*” or “*energy efficiency and environment*”. The third area is about accountability, transparency and efficiency of the public institutions and is referred to as “*governance and human rights*”. Unlike the first three areas which are inward looking, focusing on Kazakhstan development priorities, the fourth area is outward-looking and focuses on Kazakhstan's role as a provider of a development assistance provider to other countries, particularly in the region. This area is referred to as “*regional cooperation*” – region here meaning Central Asia, which is typically where Kazakhstan's development assistance is focused.

These four outcome areas are managed by three so-called “units”. Outcome area 2 which comprises the E&E projects is managed by a unit referred to as the “***Sustainable Development and Urbanization Unit***” (SDU unit), also known as the “***E&E Unit***”. This is the sector that is the focus of this report. Outcome areas 1 and 3 are managed by a unit called the “***Governance Unit***”. The fourth outcome area is not managed by a proper and dedicated unit, but functions as a separate cluster of a few small projects called the “***Regional Cooperation***” cluster. The E&E and Governance units are each led by a Team Leader who reports to the ARR. The “Regional Cooperation” cluster is managed directly by the Assistant Resident Representative (ARR).

The programme is supported by an operations structure, not shown fully in Figure 6, which parallels the programme structure and is subordinated to the DRR. On paper, under the programme and operations, there is a Project Assurance and Implementation Unit (PAIU) which supports

programme activities and serves as the bridge between programme and operations. It includes a staff member responsible for Quality Assurance, Monitoring and Evaluation (M&E) and Programme Finance. In practice this unit is not functioning, and staff members like the M&E officer report directly to the ARR.

Figure 6: CO Organizational Structure



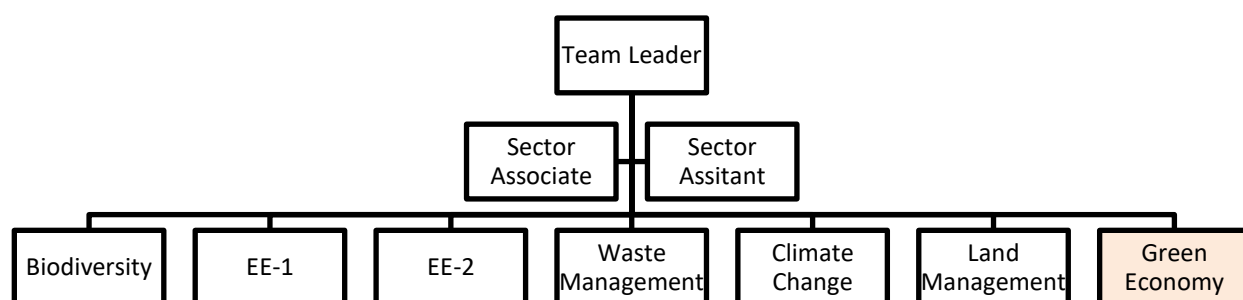
The organizational structure of the E&E sector is shown in Figure 7. The sector consists of a few bundles or portfolios of projects which are thematically close to each other. The CO tries to follow the portfolio-approach to managing projects (depending on the timelines of projects) which allows the CO to manage a few projects with the same team and helps not only to improve efficiencies, but also retain staff when a certain project is completed. The following portfolios have been established under the E&E sector:

1. **Biodiversity** – comprises the **Desert**, **CB2** and **Green Bridge** projects – all three completed. This portfolio also includes a major GEF-funded project on forestry management, which has just started and thus not included in the list of projects under this evaluation, and a smaller one supporting government's reporting on biodiversity.
2. **Energy Efficiency I** – comprises the **Sustainable Cities** and **Housing Management** projects with a focus on energy efficiency infrastructure.
3. **Energy Efficiency II** – comprises the **EEL** and **EESL** projects with a focus on energy efficiency in lighting and appliances. This portfolio also includes a major project on renewables which started in 2017, but which was not included by the CO in this evaluation.
4. **Chemicals and Waste Management** – comprises the **Medwaste** and **MIA** projects. This portfolio also includes a small project on the phase out of HCFC, but which was not included in this evaluation.

5. **Climate Change** – comprises the *7NC* project, but also includes the support UNDP has been providing to UNDP in obtaining GCF accreditation and access to GCF funds (the latter is not included in this evaluation).
6. **Land and Water Management** – comprises the *SLM* project, but also five additional projects related to agriculture, water management and disaster risk reduction (DRR) that were not included by the CO in this evaluation.
7. **Green Economy** – this is a stand-alone portfolio that includes the EU-funded *Green Economy* project (which was being completed when this evaluation took place).

The sector is headed by a Team Leader (Programme Analyst), who is assisted by a Programme Associate and a Programme Assistant. Each of the portfolios listed above is led by a Portfolio/Project Manager (except for completed projects - *CB2*, *Desert Project*, *Green Bridge*, *Medwaste*, *CAST* and *EEL*).¹⁴ Overall, the sector had seven project/portfolio managers and about 40 staff at the point of the evaluation (November 2018).¹⁵ All project teams, with the exception of the biodiversity and Minamata teams, are based in the UN premises.¹⁶

Figure 7: Organizational Structure of the E&E Sector



All these projects have a standard structure, which makes them organizationally similar to each other. They are led by a Project Manager who reports to a Project Board (or Project Steering Committee) composed of a variety of stakeholders and chaired by government and UNDP representatives. While project boards are responsible for important policy decisions such as the approval of budgets and work plans, day-to-day activities and staff performance are monitored by sector staff, and ultimately by the Team Leader. Sector staff are responsible not only for the oversight of ongoing projects, but also for the development of new projects. Unlike some other UNDP COs, the Kazakhstan CO does not have a separate policy unit dedicated to programme development. Programme development is done by cluster staff who are also responsible for overseeing project implementation.

¹⁴ The *Green Economy* project was just about to be completed at the point when this evaluation took place. In this report, it is considered still active.

¹⁵ The number of project managers will be 6 at the end of the year because the *Green Economy* project is in the process of being completed this year.

¹⁶ As of November 2018, 27 of about 40 E&E sector staff were based in the UN premises.

CHAPTER 4: MAIN FINDINGS

The findings of this evaluation are organized along the four standard dimensions of UNDP evaluations: i) relevance (the extent to which the programme was relevant to the country's priorities and needs); ii) effectiveness (whether the programme was effective in achieving the desired and planned outcomes); iii) efficiency (whether the process of achieving the results was efficient); and, iv) sustainability (the extent to which the benefits of the programme are likely to be sustained).

4.1. RELEVANCE

This section provides an assessment of the relevance of the UNDP E&E programme. While there may be many criteria for assessing relevance, here it will be assessed along the following key dimensions:

1. Country Needs and Priorities defined in National Strategies, Policies and Programmes
2. International Commitments and Agreements
3. UN Country Priorities and UNDP's Country Mandate and Strategy

4.1.1. Relevance with Country Needs and Priorities

Assessing the relevance of the E&E programme against national priorities and strategies requires an understanding of how these priorities and strategies are defined and pursued by the authorities.

The country's overarching strategic framework is "Kazakhstan 2050", the country's long-term vision announced by the President during his annual state of the nation address on December 15, 2012. Kazakhstan 2050 is complemented by the Nurly Zhol programme (Path to the Future),¹⁷ which lays out a host of measures targeted at infrastructure development, and "100 Concrete Steps to Implement Five Institutional Reforms",¹⁸ which is a plan of specific measures that implement the 2050 vision.

In the area of environmental protection, the country's main strategic document is the "Green Economy Concept"¹⁹ adopted in 2013 which outlines the country's transition towards a more diversified and greener economy and sets specific targets on renewable energy and greenhouse gas (GHG) emissions. The implementation of environmental objectives has been further supported by a programme called "Zhasyl Damu" (Green Growth) which was adopted by the government in

¹⁷ Nurly Zhol was announced on 11 November 2014 during the President's State of the Nation Address.

¹⁸ The "100 Concrete Steps" were announced by the President in May 2015.

¹⁹ Concept of transition of the Republic of Kazakhstan to the "green economy" was approved by the Decree of the President of the Republic of Kazakhstan on May 30, 2013.

September 10, 2010²⁰ and later converted into sectoral programmes, including the National Biodiversity Strategy and Action Plan (whose development was supported by UNDP). Other relevant programmes and strategies have been developed by line ministries in their areas of activity – i.e. State Programme for the Development of Agricultural Sector for 2017-2021, strategic plans of Ministry of Energy, Ministry of Investment and Development, Ministry of Agriculture, etc. Table 9 below summarizes some of Kazakhstan’s strategic and legal framework in the area of environmental protection and energy efficiency.

As will be seen throughout this report, and in particular in the section on main contributions of the UNDP E&E programme, a host of activities supported this strategic and legal framework either through the development of strategies, draft laws and programme or in their implementation.

Table 9: Respective Strategic Framework in Kazakhstan

Area	Strategy or Law
Biodiversity	National Biodiversity Strategy and Action Plan (NBSAP) till 2030.
Green Economy	Green Economy Concept, adopted in 2013 aims to modernize and diversify the country’s carbon-intensive economy and sets specific targets on renewable energy and reduction of greenhouse gas (GHG) emissions. UNDP’s support was instrumental in the development of the Green Concept.
Agriculture	Strategy for Agriculture Development (till 2021)
Energy Efficiency	Since 2012, many legislative acts, defining the basic requirements in the field of EE were adopted, including the Law “On Energy Saving and Energy Efficiency” (2012) and the “Program on Energy Saving and Increasing Energy Efficiency 2020”, setting at least 40% energy intensity reduction target until 2020. Kazakhstan has also been developing a GHG Emissions Trading System (ETS).
Transport	Development of the transport sector is regulated by the ‘National Program in Integrated Development of Transport System Infrastructure and Action Plan-2020’. Based on this program, Almaty Municipality has developed the Integrated Program on the ‘Development of Transport System of Almaty and Action Plan until 2020’. This program was based on the Sustainable Transport Strategy and Action Plan that was

²⁰ Zhasyl Damu was interdisciplinary in nature and focuses on the application of the principle of a progressive ‘green economy’ that minimizes the environmental impact of economic growth. It addresses many complex issues, including GHG emissions, air pollution, waste generation, water consumption, and protection of natural ecosystems.

	developed by UNDP's <i>CAST</i> project and includes all components of the STM.
Waste Management	"National Implementation Plan" on Persistent Organic Pollutants, was developed in 2009 with UNDP support and updated also with UNDP support more recently.

The large body of strategies and programmes constitutes a complex institutional and policy framework within which UNDP's programme is situated and which UNDP has to navigate and abide by while carrying out its activities. A positive aspect of UNDP's programme is that it is developed through a wide and effective consultative process with key stakeholders, which enables it to be well aligned with the Government's 2050 vision and strategic framework, including the instruments shown in the tables above. Over, as will be seen in the following sections of this report, UNDP's E&E programme is strongly relevant. Not only is the UNDP programme focused on key priority areas of biodiversity, energy efficiency, and climate change, but its multi-dimensional (cross-sectoral) nature makes UNDP's contribution relevant to other areas (waster and water management, air pollution, land management, etc.).

4.1.2. Relevance with International Commitments and Agreements

Being a signatory to major international and regional agreements, Kazakhstan is committed to fulfilling a range of international obligations. Kazakhstan has ratified the Convention on Biological Diversity (CBD) on 9 June 1994, and the Convention to Combat Desertification and Drought on 9 July 1997. It has also ratified a number of related protocols under the Rio Conventions, including the Cartagena Protocol on Biological Safety (8 September 2008) to protect biodiversity from the potential risks posed by genetically modified organisms that are the product of biotechnology, etc. In 1995, Kazakhstan ratified the UNFCCC as a non-Annex I party, and in 1999 committed to limit GHG emissions and accept a binding and quantified emission limitation of 100% over a 1992 baseline. The Kyoto Protocol was ratified on 19 June 2009, committing to stabilize greenhouse gas emissions for the period 2008-2012 at the 1990 level". Further, in 2010 Kazakhstan announced and communicated to the Parties its additional voluntary commitments to reduce GHG emissions by 15% by 2020 below 1990 emissions and by 25% by 2050. In 2015, Kazakhstan submitted its Intended Nationally Determined Contribution (INDC) to UNFCCC, which represented a milestone in reinforcing the country's commitment to the targets under the Green Economy Concept. Through its INDC, Kazakhstan reconfirmed its intention to reduce the economy-wide GHG emissions by 15% to 25% towards 2030 compared to the 1990-level. The INDC explicitly referred to the Green Economy Concept, and identified the link between development priorities outlined in the concept and the mitigation targets expressed in the INDC, especially on energy saving and renewable energy development.

In 2009, Kazakhstan submitted its National Implementation Plan (NIP) to the Secretariat of the Stockholm Convention on Persistent Organic Pollutants (POPs), in which the new POPs and the unintended produced POPs (uPOPs) were not included. To address this, the Government of Kazakhstan and UNDP developed a project entitled “NIP Update, Integration of POPs into National Planning and Promoting Sound Healthcare Waste Management in Kazakhstan” (*Medwaste project*).

Most of UNDP’s E&E projects have been designed and have been implemented to address in one way or another specific issues related to Kazakhstan’s commitments to international obligations. In particular, the following six projects were expressly intended to support Kazakhstan in meeting its international obligations:

1. ***CB2 project***: addresses one of the key recommendations that Kazakhstan’s National Capacity Self-Assessment (NCSA) proposed to strengthen the use of economic incentives for meeting obligations under the Rio Conventions, among other multilateral environmental agreements and to rectify the associated key deficiencies in Kazakhstan’s legal and regulatory framework. Box I below provides more details on Kazakhstan’s NCSA. Under the CB2 project, the environmental law of Kazakhstan was analyzed for compliance with the international obligations under the CBD, CCD, and UNFCCC and the Convention on Environmental Impact Assessment (EIA) in the transboundary context with the aim to integrate the biological resources valuation into the EIA.
2. ***Medwaste project***: The project’s first component was aimed at updating the National Implementation Plan and bringing it in line with the commitments of the Stockholm Convention related to new and uPOPs, increasing POPs monitoring capability, and improving the coordination of the Intergovernmental Negotiation Committee on chemicals. It was also intended to assess the mercury situation in general and prepare recommendations on accession to the Minamata convention and a preliminary plan on reduction of mercury use.
3. ***MIA project***: supports the conduct of a Mercury Initial Assessment to enable Kazakhstan to determine the requirements and needs for becoming a Party of the Minamata Convention and establish the foundations for its implementation.
4. ***Sustainable Cities***: provides support to strengthening the implementation of UNFCCC international convention obligations and guidelines and is expected to improve cross-sectoral governance for low-carbon actions and projects in the urban sector at the national and local levels.
5. ***7NC project***: Assists Kazakhstan in producing and disseminating its Seventh National Communication (7NC) and Biennial Report (BR) to the Conference of Parties (CoP) of the UNFCCC in accordance with its commitments as a Party as mandated by Article 12 of the Convention and subsequent CoP decisions.

Box I: Kazakhstan's National Capacity Self-Assessment

Kazakhstan completed its National Capacity Self-Assessment (NCSA) in 2006. NCSA's purpose was to determine the country's priority capacity needs, as well as key constraints limiting effective and efficient implementation of the Rio Conventions, and how to address these barriers moving forward. Because of this process, the NCSA produced thematic assessments, a cross-cutting analysis, a capacity development action plan, and a final synthesis report.

As a result of the NCSA process, the final report identified multiple capacity problems facing the country and categorized them into four main cross-cutting constraints:

1. Institutional arrangements to implement the Rio Conventions were deemed insufficient. This was due largely by the weak coverage of government mandates, undeveloped scientific methodologies, and ineffective cooperation and collaboration among state agencies to address Rio Conventions
2. At the time of the NCSA, there were insufficient incentives or accountability to meet Rio Convention obligations. For example, legislative and economic incentives are at odds with Rio Conventions, and key government staff are not sufficiently on board
3. Insufficient level of awareness and knowledge of Rio Conventions at multiple levels

Based on these challenges, NCSA identified three strategic objectives that would form the basis of a capacity development action plan and help address the root causes of the above listed problems:

1. Creation of the institutional conditions and mechanisms of cross-sectoral/interdepartmental coordination for achievement of the Conventions objectives;
2. Improvement of the system on stimulating the activity of the government agencies and nature users for achievement of the Conventions objectives;
3. Improvement of the level of awareness and knowledge of the problems and practical approach for achievement of the Conventions objectives among the persons responsible for decision making and activity arrangement.

The CB2 project specifically addresses one of the key recommendations that the NCSA proposed to strengthen the use of economic incentives for meeting obligations under the Rio Conventions, among other multilateral environmental agreements and to rectify the associated key deficiencies in Kazakhstan's legal and regulatory framework. That recommendation led to the Government's decision to develop and use innovative tools that could identify and measure environmental and economic costs and values for decision-making on development plans, programmes, and projects. The project was designed to remove several capacity barriers hindering the implementation of Rio Conventions. Those include; at the systemic level, the inadequate incentives or mechanisms to enable or encourage progress on Rio Convention implementation. Scientific and technological methodologies for Rio Convention implementation remain outdated or ineffective, although work is on-going to develop these capacities. At the institutional level, the insufficient participation of civil public in the decision-making process for Rio Convention implementation as well as insufficient contribution of different socio-economic sectors that have an impact on the fulfillment of Rio Conventions obligations. At the individual level, there was insufficient awareness and knowledge among important social actors at multiple levels on the Rio Conventions obligations.

4.1.3. Relevance of project activities with UN's and UNDP's Mandate and Strategy

The activities of the UN system in Kazakhstan are guided by the vision outlined in the “Kazakhstan 2050” strategy. This vision is operationalized through the Partnership for Development (PFD) document for 2016-2020, which represents the unified vision of the UN System in the country. UNDP's Country Programme Document (CPD 2016-2020) draws its focus areas of work from the PFD and lays out a set of goals and targets for the organization.

PFD has three pillars: i) reduced disparities and improved human development; ii) strengthened and innovative public institutions; and, iii) enhanced international and regional co-operation. Pillar 1 consists of three outcomes, the third of which is – *“ecosystems and natural resources are protected and sustainably used, and human settlements are resilient to natural and manmade disasters and climate change”*. This outcome represents Outcome 1.3. in UNDP's CPD. It is this outcome and the associated results framework, shared by the PFD and CPD, that guides the activities of UNDP's E&E cluster. The strategic priorities of the UNDP's CPD are inter-linked, based on a portfolio-based approach, and focus on: (a) diversification of the economy and provision of decent work opportunities for the underemployed and socially vulnerable people; (b) sustainable human settlements, and natural resources management; (c) accountable and effective institutions accessible; and (d) regional cooperation and development. The CPAP unpacks these portfolios by providing a detailed description of key results and benchmarks.

Overall, the E&E portfolio consists of interventions that have been largely relevant to Kazakhstan's needs and priorities, its international commitments and agreements and the UN and UNDP country mandates and strategies.

4.2. EFFECTIVENESS

This section provides an assessment of the extent to which UNDP Kazakhstan has achieved what it committed to achieve through its E&E programme. The first part of the section examines the E&E section of the Results and Resources Framework (RRF) of UNDP's CPD and compares commitments made at the beginning of the programme with what has actually been achieved by the time of the evaluation. The second part of the section provides a broader overview of UNDP's contributions in this area, including areas that were not captured in the CPD.

4.2.1. Progress towards the Realization of Country Programme Outcomes

Table 10 below shows the country programme outcome and output indicators and targets for the E&E area, as they were specified in the RRF section of the 2016-2020 CPD at the beginning of the programme cycle. These indicators and targets represent the commitments made by the CO for the entirety of the sector. Table 10 also presents an analysis of the results achieved by the CO up until the point of this evaluation. It should be emphasized that the achievements in the table were reported by the CO on the basis of their monitoring and reporting tools and were not independently verified by the evaluator in the course of this assignment (an independent collection or verification of detailed quantitative information did not fall under the scope of this evaluation).

From the information provided by the CO in the table, we can see that two of the four outcome targets have already been met. The other two are achieved at about 50% or less (with 2 years left this the end of the programme). Also, a comparison of the output indicators at the beginning of the programme and by the time of the evaluation shows that most output targets set in the CPD have already been met by 2018 or are well on track to being met by 2020. As can be seen from the table, only two indicators (1.5 and 3.2) lag behind their targets and face an uncertain future.

It should be noted, however, that some of the RRF's outcome indicators are vague and do not meet the SMART criteria for good indicators (Specific, Measurable, Attributable, Realistic and Time-bound). For example, **outcome indicator 3** is framed as “*percentage of national and regional development plans that incorporate gender-responsive economic, social and health aspects of disaster and climate risks*”. There are a number of questions that arise here and which require specific answers. What qualifies as a national or regional development plan? Do they have to be approved to count towards the result? What about their implementation – does it matter if the plan is actually not implemented, but exists on paper? What exactly qualifies as reportable UNDP contribution – the development of a plan, substantial amendment of an existing one, or even minor improvements? Furthermore, the RRF is somehow focused on biodiversity, climate change adaptation and disaster risk management, and lacks indicators in the areas of climate change mitigation, waste management, water management, etc. The RRF's focus on disaster risk management is significant, although it is not a key area under the current programme.

Table 10: Results Reported Against the Country Programme Results Framework

Country Programme Outputs, Indicators and Targets	Results Reported by the CO (at the time of the evaluation)
<p><i>Outcome: Ecosystems and natural resources are protected and sustainably used, and human settlements are resilient to natural and human-induced disasters and climate change.</i></p> <p>Indicator 1: Number of settlements and cities that have implemented resilience-building measures as per international recommendations.</p> <ul style="list-style-type: none"> Baseline: None Target: 20 settlements/cities Progress: 27+ <p>Indicator 2: Number of key sectors, including public sector that have adopted greening/climate adaptation practices.</p> <ul style="list-style-type: none"> Baseline: 2 Target: 5 Progress: 10 <p>Indicator 3: Percentage of national and regional development plans that incorporate gender-responsive economic, social and health aspects of disaster and climate risks.</p> <ul style="list-style-type: none"> Baseline: 10% Target: 50% 	<p>Indicator 1:</p> <ul style="list-style-type: none"> Catalyzed more than 27 best international practices in flood management, strengthened in-country potential to respond to flood and risk-based management through the Almaty based International DRR center.²¹ Established interactive web-based platform at the basis of the Almaty International DRR center http://cesdrr.org/en/general/ Supported modifications to the Environmental Code introducing adaptation as a key element of climate change related aspects. New Environmental Code is expected to enter into effect in the middle of 2019.²² Supported accelerated transition to energy efficient lightning, from CFLs to LEDs, and through demonstration projects created innovative linkages between EE lighting and social benefits (such as increasing safety and productivity in a school for the visually impaired).²³ <p>Indicator 2:</p> <ul style="list-style-type: none"> Installed 1,200 m of flood protective belts has secured 7 secondary comprehensive schools and 3 kindergartens. <p>Indicator 3:</p> <ul style="list-style-type: none"> Mainstreamed gender segregated policy framework into a four regional development plans of Kyzylorda, Akmola, Kostanay, East Kazakhstan and Turkistan regions. Two regions (Kostanay and East-Kazakhstan oblasts) included the indicator of volume of medical waste incineration into their regional development programmes. <p>Indicator 4:</p>

²¹ “Scaling up effective community resilience and flood risks management in Almaty Regions”, regional project, UNDP Kazakhstan is a participating CO.

²² In the framework UNDP/GEF project “Development of Kazakhstan’s National communication to the UNFCCC and Biennial report”.

²³ Through the *EESL* project.

<ul style="list-style-type: none"> • Progress: 20% <p>Indicator 4: Percentage of protected areas and adjacent territories and ecosystems managed sustainably.</p> <ul style="list-style-type: none"> • Baseline: 8% • Target: 20% • Progress: 9.5% 	<ul style="list-style-type: none"> - With the assistance of UNDP, in the period from 2016-2018, within the framework of the implementation of joint projects on biodiversity conservation, 4 new protected areas and 1 ecological corridor were created, the territory of 1 PAs was expanded, and these are: <ul style="list-style-type: none"> • State Natural Reserve "Ile-Balkash" (415 164 hectares, Almaty region); • Tarbagatai State National Natural Park (143,500 hectares, East Kazakhstan region); • Arganatinsky state nature reserve of local significance (186 960 hectares, Almaty region); • State natural reserve of local significance "Zhabayushkan" (316,141 hectares, Mangistau region); • Territory of the State National Natural Park "Altyn Emel" was expanded (146,500 hectares, Almaty region); • Ecological corridor "Kapshagay-Balkash" (973,765 ha, Almaty oblast). - As a result, with the assistance of UNDP, more than 2.1 million hectares of unique desert and semi-desert ecosystems have been taken under state protection.
<p><i>Output 1: Selected settlements have adopted integrated models for sustainable growth.</i></p> <p>Indicator 1.1: Number of new jobs/livelihoods created through management of natural resources, ecosystems services, chemicals and waste, sex-disaggregated.</p> <ul style="list-style-type: none"> • Baseline: 20 • Target: 80 • Progress: 511 <p>Indicator 1.2: Number of settlements implementing integrated models for sustainable and resilient settlements.</p> <ul style="list-style-type: none"> • Baseline: 1 • Target: 15 • Progress: 15 	<p>Indicator 1.1:</p> <ul style="list-style-type: none"> - More than 49 additional jobs were created through rehabilitated irrigation water supply systems and restored 1280 ha of abandoned lands and pastures. - As result of development of Centers of medical waste treatment (in 3 regions) 15 vacancies were created (includes 5 vacancies for women). - As a result of the organization of the "Ile-Balkhash" natural reserve and the Tarbagatai National Natural Park, 238 new jobs were created. - In 3 regions of the country, the first stage of the Eco-Damu Microcredit Program for 2014 - 2024 was implemented with the lowest lending rate in the country (4%). - The opening of such microcredit program enabled the creation of 209 new "green" jobs (of which 73 women's jobs) to provide permanent work for rural residents. <p>Indicator 1.2:</p>

<p>Indicator 1.3: Number of innovative methods for communal and hazardous waste management adapted by private sector and communities.</p> <ul style="list-style-type: none"> • Baseline: communal - 1; hazardous - 1 • Target: communal - 3; hazardous - 2. • Progress: hazardous – 3 <p>Indicator 1.5 Number of new development partnerships with funding for improved energy efficiency, and sustainable energy solutions targeting underserved communities.</p> <ul style="list-style-type: none"> • Baseline: 4 partnerships in key sectors • Target: 20 • Progress: 2 • Baseline: 5 regional solutions • Target: 30 regional solutions • Progress: 2 	<ul style="list-style-type: none"> - Urban NAMAs fully developed and are being agreed upon with 15 municipalities. Urban NAMA - the programmatic document which contains a defined urban GHG emission reduction target (in line with national target under Paris accord), list of priority GHG emission reduction measures with estimated investment cost, GHG emission reduction potential, assessment of risks, as well as financing and business model for implementation. 2 urban NAMA developed and officially adopted by the municipality of Temirtau and Astana, 13 urban NAMA fully developed and are being agreed upon with municipalities. <p>Indicator 1.3:</p> <ul style="list-style-type: none"> - In 3 regions centers of medical waste treatment were established. The method of contaminated waste treatment is autoclaving. Releases of danger substances were stopped; plastic waste is recycled. <p>Indicator 1.5:</p> <ul style="list-style-type: none"> - Financial mechanism for urban NAMAs in the form of “Municipal Energy Efficiency Investment Support Facility” in partnership with the National Fund for Support of Entrepreneurs DAMU has been designed and approved by the Project Board. Full package of legal and regulatory documents and partnership agreements governing implementation of the financial mechanism has been prepared and cleared by the Government, Financial Partner and UNDP, as well as UNDP-GEF Project Board by December 2017. 74 urban projects were approved with a total investment of \$ 31.4 million with support from a UNDP-GEF grant in the amount of \$ 2.3 million. 3 projects were materialized and 71 was approved by the project board and they are now under the review of the banks. There is a high demand from both the private sector and commercial banks for participation in the established partnership, which for the first time allowed Kazakhstan to attract private funding for municipal / urban energy efficiency projects. A partnership was created with the Akimat of Astana to implement a joint project for low-carbon modernization of the residential quarter. The pilot project has been included in the comprehensive plan on the ecology of the city of Astana.
<p><i>Output 2. Mechanisms in place to assess natural and human-induced risks at national and sub-national levels.</i></p>	<p>Indicator 2.1:</p>

<p>Indicator 2.1: Number of plans that are informed by multi-hazard national and sub-national disaster and climate risk assessments, taking into account differentiated impacts on women and men.</p> <ul style="list-style-type: none"> • Baseline: 1 • Target: 5 • Progress: 5 <p>Indicator 2.2: Availability of standard damage and loss accounting methodology.</p> <ul style="list-style-type: none"> • Baseline: none in place • Target: one standard system piloted • Progress: 1 	<ul style="list-style-type: none"> - One hazard and disaster risk modeling instrument/plan is developed for comprehension of the work of the CoES. - One comprehensive map of flood risks and report on flood risk assessment prepared with clear legends and coping strategy against those highlighted types and categories of the risks. and distributed. - One action plan was developed based on the principles of the GARD for Almaty airport. - Master plan with technical and financial analysis for construction of small and medium size dams developed and being used by the CoES, RSE “KazSelezashita” Water Resource Committee and RSE “Kazvodkhoz”. - Risk management tool for small and medium size dams was developed and mainstreamed into national systems of design, development and maintenance cycle of the hydrotechnical systems. - On-site and off-site emergency plans that are risk-based was developed using the Myke II modelling software for the two-river basin Nauryzbay and Talgar in Almaty regions. - A catchment-based approach was developed considering the good practice for effective planning for regulated river systems that contain reservoirs in cascade and large nearby populations of Talgar city of Almaty region. <p>Indicator 2.2:</p> <ul style="list-style-type: none"> - One comprehensive climate risk mapping methodology developed and mainstreamed into the operational activities of the Almaty Department of Emergency situation.
<p><i>Output 3. Natural resources are protected, accounted for and integrated in national and/or sub-national development planning.</i></p> <p>Indicator 3.1: Number of sector-specific payment schemes for ecosystem services introduced and piloted.</p>	<p>Indicator 3.1:</p> <ul style="list-style-type: none"> - For the first time in the Aral-Syrdariya region (Kyzylorda region, Aral district) a pilot scheme for the development of ecotourism was tested through the example of Lake Kambash. - The demonstration site for the implementation of the PES scheme is the territory of private guest houses on a 2 ha area on Lake Kambash (Aral district, Kyzylorda region). The recreation

<ul style="list-style-type: none"> • Baseline: none • Target: 1 viable scheme piloted • Progress: 1 <p>Indicator 3.2: Extent of change in energy consumption in public sector buildings.</p> <ul style="list-style-type: none"> • Baseline: 12 • Target: 20 • Progress: 6 <p>Indicator 3.3: Number of water basins sustainably managed, and watersheds rehabilitated at national/regional levels.</p> <ul style="list-style-type: none"> • Baseline: 1 basin (Ili-Balkhash) • Target: 3 (Ural, Kigach, Chu-Talas) • Progress: 3 <ul style="list-style-type: none"> • Baseline: ~5% of watersheds (Eastern, Southern and Western Kazakhstan) • Target: ~20% • Progress: 3 	<p>zone is situated 5 km from the Western Europe – Western China highway and on the coast of Lake Kambash.</p> <ul style="list-style-type: none"> - Increase the attractiveness of the landscape and prevent the potential damage from winds by creating environmentally sustainable parkland on 2 hectares of the coast of Lake Kambash. The akimat of the Aral district, Aral State Forestry Department, guest houses of Lake Balkhash, Kyzylorda Tourist Association and tourists participated in the PES scheme.²⁴ In September 2017, an Agreement on cooperation and implementation of the PES Scheme was concluded between the Parties. - PES customers: tourists, akimat of the Aral district, Kyzylorda tourist association. - Suppliers (sellers): private guest houses on Lake Kambash, renting land on the coast of the lake and able to produce an impact on the service delivery. - Six pilot projects were implemented, aiming at reducing the anthropogenic load on pastures and preserving biodiversity. <p>Indicator 3.2:</p> <ul style="list-style-type: none"> - Projects were implemented in energy consumption in 6 public sector buildings: an administrative building (Astana city), schools (3 schools in total in North Kazakhstan and Kyzylorda city), a polyclinic (in North Kazakhstan region), and University building (Aktobe city). <p>Indicator 3.3:</p> <ul style="list-style-type: none"> - Developed one strategic action plan for the sustainable management of the Chu and Talas river basins has been developed based on the transboundary Diagnostic Analyses that was ratified by the Government of the Kyrgyzstan and Kazakhstan.
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²⁴ "Payments for ecosystem services" (PES) as a verifiable approach to protecting biological diversity and mitigating climate change, according to research conducted by the Worldwatch Institute for the publication, Vital Signs Online. PES are financial arrangements designed to protect the many benefits provided by the natural environment, including payments for projects that invest in biodiversity and watershed protection, ecosystem restoration and carbon capture in forests.

	<ul style="list-style-type: none"> - One Inventory mechanism for the Chu and Talas river basins was developed and mainstreamed into the operational activities of the respective water authorizes in Kazakhstan and Kyrgyzstan. - One comprehensive action plan is developed for Chu and Talas water commission for tracking water uptake and dissemination by both transboundary countries i.e. Kyrgyzstan and Kazakhstan. - Comprehensive report on the impact of the climate change into the water resources of Kazakhstan and Kyrgyzstan considering the flow impact of the Chu and Talas river basin. - Installed/upgraded/equipped 2 water laboratories (equipment, consumables, capacity) at transboundary level.
<p><i>Output 4. National and sub-national institutions have strengthened capacities in environmental governance in protected territories and adjacent settlements.</i></p> <p>Indicator 4.1: Number of national and sub- national institutions that actively apply environmental governance practices (climate change, water management, sustainable agriculture) NGOs.</p> <ul style="list-style-type: none"> • Baseline: 5 • Target: 20 • Progress 18 <p>Indicator 4.2. Number of local governments benefiting from improved territorial planning and cooperation, and conflict prevention practices.</p> <ul style="list-style-type: none"> • Baseline: 5 • Target: 20 • Progress 13 	<p>Indicator 4.1:</p> <ul style="list-style-type: none"> - Ministry of Agriculture, RSE “Kazhydromet”, Grain Research Institute named by A. Barayev, North Kazakhstan Research Institute of Agriculture, Kostanay Research Institute of Agriculture, RSE “KazAgro” and 12 farmers that are actively applying climate governance practices. <p>Indicator 4.2:</p> <ul style="list-style-type: none"> - The total landscape area covered by the project under sustainable productive use through territorial planning is 750,000 hectares. - Demonstration of sustainable land use and management has occurred over an area of 145,503 ha in 6 oblasts—Akmola, Almaty, East Kazakhstan, Kostanai, Kzyl Orda and North Kazakhstan. - For the first time within the framework of the UNDP projects for the Aral-Syrdarya and Ile-Balkhash project territories, through the example of 3 pilot districts (Aral and Kazaly districts of the Kyzylorda region, Balkhash district of the Almaty region) works were carried out on the functional zoning of lands as a basis for territorial planning. - Strategies and Action Plan for sustainable land management were prepared for the Aral-Syrdarya (Aral and Kazaly districts) and Ile-Balkhash regions (Balkhash district), where the

	<p>priority directions for land use planning were identified, concrete actions were planned to improve the land use system, strengthen the economic, informational and educational potential. Strategies and Action Plans are agreed upon at the level of the maslikhats of the pilot areas.</p>
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|--|---|
| | <ul style="list-style-type: none">- Thus, the project within the indicator covered the 7 akimats - of the Almaty, Kyzylorda and Mangystau regions, akimats of the Balkhash, Aral, Kazaly and Karakiyan districts, introduced sustainable land use practices in 3 districts. |
|--|---|

Similar questions arise with regards to the RRF's validity and quality when we examine the output indicators and targets. They too lack to some extent specificity and clarity. For example, **output indicator 4.2.** on the “*number of local governments benefiting from improved territorial planning and cooperation, and conflict prevention practices*” is vague. What counts as benefit when it comes to territorial planning? Can we quantify “benefits” rigorously to be able to use them in an RRF? And, we could further ask, which governments are we talking about? Those UNDP has worked with? Directly or indirectly?

Beyond the formulation of the RRF, it is also its use that presents some shortcomings. As can be seen from Table 10, the results reported by the CO (on the right side of the table above) are not totally clear and do not always correspond to the indicators (on the left). Without going into a fairly detailed analysis of the shortcomings here, it is clear that the CO needs to monitor its results against the CPD's RRF more clearly and on a regular basis. At the time of this evaluation, the CO had to mobilize efforts to compile the information in the table, and even with that there is still room for further improvement in how the results are organized and reported. It is understandable that the CPD framework does not correspond well to the actual activities on the ground because it is usually difficult to predict at the beginning of the CPD cycle which projects will be implemented in the course of the cycle.²⁵ This is the case for most UNDP COs which depend on funding from external sources. However, despite this challenge, it will be useful for the CO to stay on top of its results and be able to track on a regular basis and quickly report what has been achieved at the programme level. The tracking of results at the programme level should not be done for the sake of compiling annual reports, but needs to become an ongoing practice that helps the team manage the programme more effectively. This practice should be strengthened in the new CPD cycle.

Further, the “programme level” RRF does not aggregate very well the results across all projects. These two instruments are for the most part not compatible and do not speak well to each other, which makes it difficult to understand how programme outputs contribute to broader results. Sector staff should ensure that programme baselines, indicators and targets are harmonized and aligned with those of individual projects (see the figure on page 48 for an outline of the approach that could be taken and the set of questions that could be asked at every step).

This discussion leads us to the issue of the Theory of Change (ToC) for the sector. As of now, the sector does not have an explicit ToC that places all the specific pieces (projects) in the boarder

²⁵ The difficulty of predicting the activities of an upcoming CPD cycle are obvious. In this case, it may also be argued, for example, that given that some of the CPD commitments have already been exceeded by a large factor, and some of them even by 2017, the CPD targets might not have been selected very carefully or ambitiously. For example, output indicator 1.1. which states “number of new jobs/livelihoods created through management of natural resources, ecosystems services, chemicals and waste, sex-disaggregated”, the baseline was reported 20, target 80 and achievement 511. The difference between the target and achievement is staggering and leaves one wondering whether the selected target was meaningful in the first place.

context and connects them all together.²⁶ In practice, there are many interlinkages between the projects, both in terms of design and implementation, but these interconnections are not explicitly identified and articulated by the team. Their identification will help the team develop a better results framework for the CPD and might even contribute to strengthening the design of projects and the quality of the monitoring system. The elaboration of a ToC and the strengthening of the RRF are something that the CO could address in the formulation of the next CPD. As already mentioned, it is hard for a donor-dependent organization like UNDP to come up with a clear RRF at the beginning of the programming cycle, but still an effort could be made to have a more meaningful RRF.

Also, at the project level, there are some challenges with regards to the use of evidence-based RBM practices. Some of the project documents reviewed for this evaluation have weak RRFs with inadequate targets and indicators which do not meet the SMART criteria. Some of the project evaluations have pointed out this problem – in particular, the evaluation reports for the **CAST**²⁷ and **CB2**²⁸ projects. The improvement of project indicators was also raised in the previous outcome evaluation (2015).²⁹ Weak project RRFs present a challenge for activity planning, implementation and monitoring.

The CO has had a good coverage of its projects with evaluations – this is mainly driven by the fact most of the projects in this portfolio are funded by GEF which requires mid-term and terminal evaluations for most of the projects it funds. For the 13 projects analyzed in this report there have been 11 mid-term and final evaluations (see Table 11 below). Only four of the 13 projects have had no evaluations (Green Bridge, Housing Management, MIA, Green Economy and 7NC) – the Housing Management has recently, and the others are either financed by the government and the EU - thus not requiring any mandatory evaluations or being too small.

The coverage rate evaluations is very good, but it should also be noted that some of the evaluations that were reviewed for this outcome evaluation were found to be lacking in quality in certain aspects – i.e. not meeting some of the basic UNDP criteria for evaluations.³⁰ Some of them are too long and the arguments, statements and conclusions are not too concise and straightforward.³¹ In

²⁶ The implicit theory of change for E&E cluster, as stated by the CO, is that the cluster facilitates the stable pace of economic growth in the context of uncertainties related to adverse effects of climate change, risks of climate induced natural disasters, anthropogenic influence on the environment.

²⁷ In The evaluation report of the **CAST** project noted that “there is a mix up between the Outputs and Activities to be carried out as well as the indicators. Many of the indicators in this case are more of activities (rather than indicators of the achievements). The outcomes of the project are defined in rather general terms, and the concrete expected results are defined within the PRF in terms of indicators and targets of a qualitative nature, without establishing clear links between the targets proposed and the two quantitative general indicators set for the project.”

²⁸ The evaluation report for the **CB2** project noted that “outcomes are not well identified in the Project Document, with targets are specified at the output levels.”

²⁹ Outcome Evaluation in the Practice Area of Energy and Environment, December 2015.

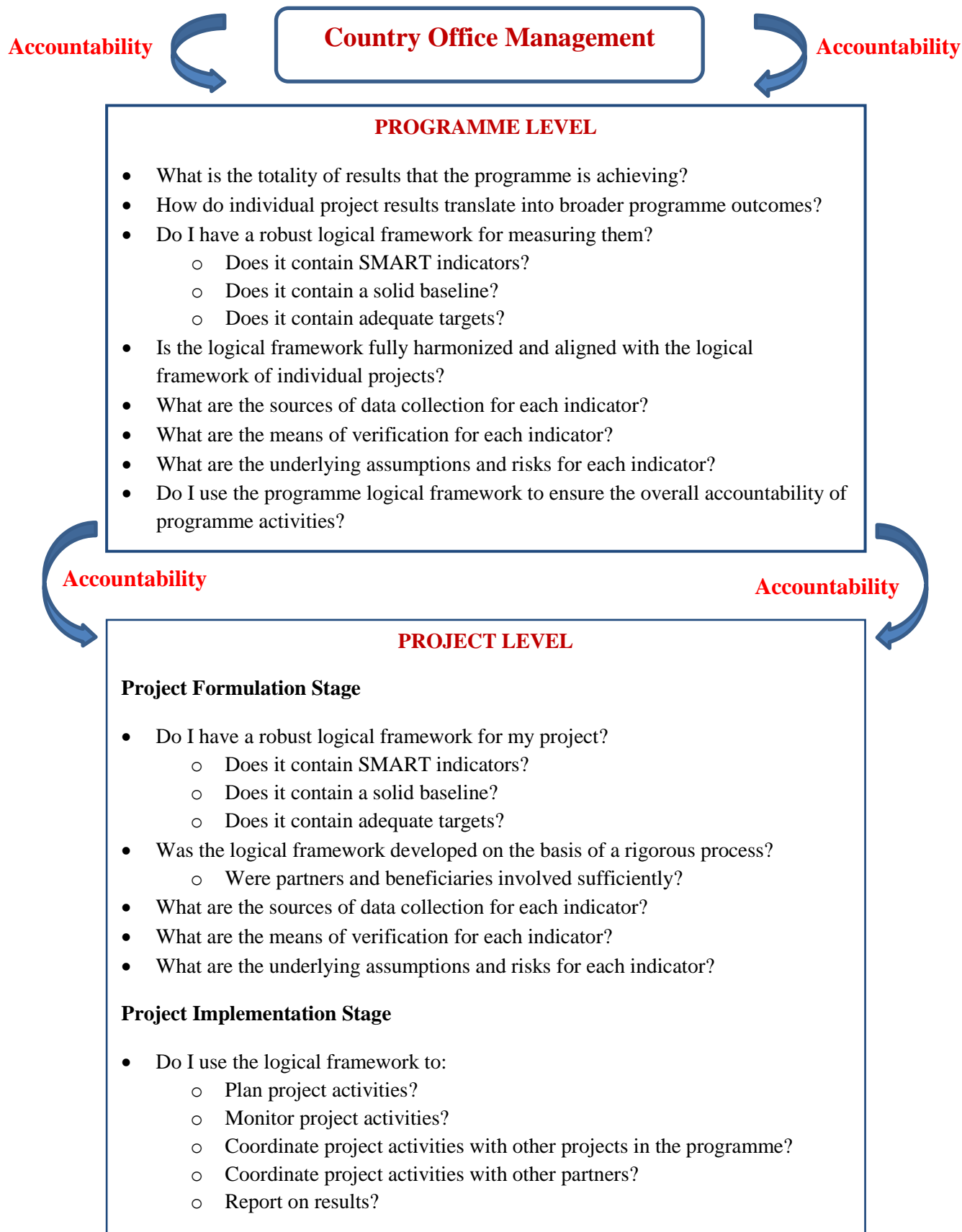
³⁰ UNDP evaluations should follow the guidelines compiled by the United Nations Evaluation Group, as well as the guidance provided by UNDP in its “Handbook on Planning, Monitoring and Evaluating for Results”.

³¹ Examples are the MTE and TE of the **CAST** project, the TE of the **CB2** project, etc.

this area, the CO could strengthen minimum criteria for the conduct of project evaluations and could establish a tracking system to closely monitor their quality. Further, the unit team should consider having a more systematic approach to reviewing the projects, especially the large ones. Given the well-organized nature of these projects in bundles, the sector could consider “bundle evaluations” which would save time and resources, but also provide important insights into project activities.

Table 11: Project Evaluations

No.	Project	Mid-Term	Terminal
1	Desert Project	X	X
2	CB2		X
3	Green Bridge		
4	Sustainable Cities	X	
5	Housing Management		
6	SLM	X	
7	EESL		
8	EEL	X	X
9	MIA		
10	Medwaste	X	X
11	Green Economy		
12	7NC		
13	CAST	X	X



4.2.2. Overview of Main Contributions

The previous section and Table 10 provided some details about UNDP's achievements against the results framework laid out in its 2016-2020 CPD. This section provides a broader summary of UNDP's contributions beyond what laid out in the CPD.

When talking about UNDP contributions, it should first be noted that some projects in the bundle have started more recently, so it is too early to talk about substantive results for them yet. As can be seen from Table 12 below, these are in particular the *Housing Management*, *EESL* and *MIA* projects (marked in green in the table). So, the focus of this section will be on the contributions of the other ten which have been going on for more than a couple of years.

Table 12: Project Timelines and Budgets

PROJECTS		CPD Period												Project Budget
		2016				2017				2018				
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
1	Desert Project													4,364,000
2	CB2													500,000
3	Green Bridge													1,433,894
4	Sustainable Cities													5,990,000
5	Housing Management													1,008,222
6	SLM													1,900,000
7	EESL													3,500,000
8	EEL													3,450,000
9	MIA													400,000
10	Medwaste													3,375,000
11	Green Economy													8,333,000
12	7NC													852,000
13	CAST													4,886,000

Biodiversity and Natural Resource Management

In the area of biodiversity and natural resource management, UNDP has had a substantial and sustained engagement through the *CB2*, *Desert*, *SLM* and *Green Bridge* projects (as well as earlier projects which do not fall under the scope of this evaluation). The *CB2* project supported the revision of the wildlife, forestry, and protected areas codes,³² amendments to the Environmental Impact Assessment procedures and piloted a methodology and set of tools for the economic valuation of natural resources in two sites (Ile-Balkash and Ustyurt). Through the development of a host of tools (methodologies, approaches, concepts) for the economic valuation of natural resources and training on the use of these tools, the *CB2 project* contributed to the improvement of planning and decision-making in the management of natural resources. UNDP also contributed to the development of payment schemes for ecosystem services. The *Desert* project contributed to

³² UNDP supported the government in the revision of the Forestry, Wildlife, and Protected Areas codes and relevant regulatory and legal acts and helped introduce and mainstream the concept and methods of economic valuation in environmental impacts assessment and other instruments in the context of biodiversity conservation, land degradation and climate change.

the creation of four new protected areas, one ecological corridor and the expansion of one national park. The territory of the Altyn Emel national park was expanded by almost 52% (146,500 ha). To improve the management of these protected areas, UNDP supported the development of management plans and training of staff.³³ UNDP has also supported the development of mechanisms for the provision of micro-credits in locations adjacent to protected areas aimed at the replacement of unsustainable practices with alternative ones. The **SLM** project has had a strong focus on the demonstration of innovative techniques and schemes in integrated territorial and land use planning in steppe, arid and semi-arid zones in six different regions of Kazakhstan, ultimately aiming at enhancing the conservation-friendliness and sustainability of productive agricultural landscapes. The **Green Bridge** project contributed to the improvement of the legal framework and training of government staff in the areas of fisheries and aquaculture. The project also piloted a sturgeon breeding farm in the Aktobe region.

Overall, in this area UNDP has contributed directly to expanding and strengthening the management of protected areas, reduction of pressure on the biodiversity of desert and semi-desert ecosystems and wetlands, development of fishing and farming, etc. Over 234,000 hectares of degraded agricultural lands have been restored and hundreds of jobs have been directly created.

Energy Efficiency and Climate Change

Energy efficiency and climate change has been another area where UNDP has created significant depth over decades of engagement in Kazakhstan. In this programme cycle the CAST, 7NC, Sustainable Cities, EEL, EESL, Green Bridge and Housing Management projects have provided significant contributions. **CAST** project supported the development of a number of policies and strategies related to the city of Almaty – for example, the methodology for the estimation of the GHG emissions in the transport sector, Transport Demand Model, Sustainable Urban Transport Strategy and Action Plan, a feasibility study for the implementation of an LRT line, Parking Strategy and organization of on-street parking management, methodology for public transport services, etc. More than 100 staff members from the Almaty municipality and other stakeholders were trained on management and operating of public transport. **7NC** project supported Kazakhstan's 7th National Communication to UNFCCC, which involved nation-wide policy debates on climate change mitigation and adaption between the government, civil society and private sector. **Sustainable Cities** project has worked with 15 partner cities to help them identify, prioritize and prepare bankable energy efficiency projects through a variety of instruments, including Public-Private Partnerships (PPP). For the selected pilot cities, a list of urban sector projects was identified on the basis of economic calculations and risk analysis. The Sustainable Cities project has supported the Ministry for Investments and Development and the Damu Entrepreneurship Development Fund in establishing a financing mechanism that will attract investments from the private and banking sectors in energy saving projects. The financing

³³ More than 300 protected area staff and government officials have been trained on management, promotion of eco-tourism, etc.

mechanism includes instruments such as interest rate subsidies and loan guarantees for private sector projects that are aimed at energy saving in city heating, water supply, public and residential buildings, urban sewage and treatment systems, street and interior lighting, etc. Using this financing mechanism, the Sustainable Cities project worked with the Akimat of Astana to pilot the modernization of five apartment buildings. *EEL* project contributed to the phasing out of incandescent lamps by supporting the development of a set of regulations and mandatory standards on specific lighting technology and applications, including LEDs. It assisted the Institute of Metrology with equipment and advice on the certification and accreditation laboratories related to the lighting industry/market. The project financed lighting-related pilots in a number of schools and healthcare facilities across the country.³⁴ The project also implemented street lighting upgrades on several streets in five cities³⁵ and lighting upgrades in entryways and courtyards in residential and office buildings in six cities. The project also supported the piloting of residential recycling schemes for spent mercury-containing lamps in Mangystau and Kyzylorda. *EESL* project has started a number of preliminary activities aimed at ultimately introducing energy efficiency labelling of domestic appliances and equipment³⁶, and energy efficiency performance standards for government procurement rules. At this stage, the project has hired the experts, reviewed the legal and institutional framework, conducted preliminary studies, and established relationships with key stakeholders. *Green Bridge* project supported the improvement of the regulatory and legal framework in the area of renewable of energy and the development of a solar atlas to help potential investors and developers identify investment opportunities in Kazakhstan. The project also piloted a number of small solar projects in education and healthcare facilities in the Astana and Almaty regions. *Housing Management* project has to the identification of regulatory and financial incentives for improving the management of the housing stock and promoting energy efficiency in the residential sector. A new scheme for the management of residential buildings will be piloted in three regions.

Overall, in this area UNDP has contributed to the development of legislation and regulatory framework, piloting and showcasing of energy efficiency practices and technologies, promotion of renewables, etc. At the practical level, through these projects UNDP has contributed to the direct reduction of GHGs and the creation of a significant number of jobs.

³⁴ The *EEL* final evaluation reported the modernization of lighting in 41 classrooms in seven schools in six cities and villages of central and eastern Kazakhstan, involving replacement of 100W incandescent lamps and their fixtures with 42W linear fluorescent lamps. The project then supported similar lighting upgrades in four other schools in the cities of Aktau and Kyzylorda, plus a school for visually-impaired students in Semey.

³⁵ The *EEL* final evaluation reported the replacement of 250W high-pressure sodium lamps with LED fixtures and 157W lamps. These upgrades also included new systems for monitoring and control. After the upgrades, energy consumption dropped by an average of 53 percent even as lighting levels and quality improved, with bright white light replacing yellow. The respective municipal agencies are witnessing huge financial savings, not only from reduced energy bills, but from reductions by up to 35 percent in maintenance costs.

³⁶ The project is focused on three categories of appliances and equipment with highest electricity consumption – refrigerators, industrial motors, and distribution transformers.

Chemicals and Waste Management

In the area of waste management, the *Medwaste* project helped the government update the national implementation plan for new and unintentional persistent organic pollutants (POPs) under its commitments emanating from the Stockholm convention, strengthen POPs monitoring capability, and improve institutional coordination on chemicals. Another contribution at the legislative level was the introduction of amendments to the Environmental Code regarding establishing standard emissions of dioxins and furans. Support was provided to the development of a system for the accreditation of laboratories of POPs-POPs pesticides. The project also demonstrated in pilot territories the safe disposal of medical waste through autoclaving. The *Medwaste* project has also supported the assessment of mercury situation, preparation of recommendations related to the Minamata convention and preliminary plan on the reduction of mercury use. An agreement to end the use of mercury thermometers in the healthcare system was signed with health authorities in pilot regions. Further, UNDP has recently started the *MIA* project to support the Ministry of Energy in conducting the Initial Mercury Assessment, which will enable the government to identify the requirements and needs for the ratification of the Minamata Convention and create the basis for its implementation.

Water Management

In the area of water management, the *Green Economy* project was implemented jointly with UNECE and implemented a “grant programme” consisting of 11 small pilots and 4 large pilots primarily in the area of water management. The grant programme was designed to demonstrate that green technologies can not only reduce pressure on natural resources, but also improve profitability with acceptable initial costs. Furthermore, the project helped the government strengthen water management policies and practices (i.e. Transboundary Water Management or Strategic Environmental Assessments).

Other Areas

The CO is finalizing a second report in a series of National Human Development Reports (NHDR) devoted to SDGs. The current one is focused on Goal 11 (sustainable urbanization and settlements), which is directly related to the E&E portfolio and SDU unit.³⁷ In 2017, UNDP supported Kazakhstan in hosting the global event EXPO ‘Future Energy’, which included an Energy Ministerial conference. The UN had its own dedicated section within the International Organizations pavilion. This event provided UNDP with a high-level platform for advocating for alternative development pathways towards sustainability and developing partnerships. In this event, the CO signed a first-ever agreement with a national financial institution (DAMU) to facilitate ‘green’ investments in urban infrastructure. Further, in partnership with the Ministry of

³⁷ The first in the series of NHDRs focused on Goals 1 and 10 (poverty and inequality).

Energy and UNECE, UNDP has supported the launch of the International Green Technologies Centre.

In conclusion, the impact of UNDP's activities in the E&E sector during the current programme cycle has been significant. A large part of the impact of this work is at the institutional level. UNDP helped strengthen the policy and legal framework, as was the case with a number of laws, regulations and methodologies mentioned above. By helping introduce changes at this level, UNDP has helped shaped the incentives of the respective organizations and agents, which ultimately has an effect on their behavior (assuming these instruments are implemented – more on this in the sustainability section). Further, through the various training activities, UNDP has supported the development of the capacities of existing public organizations to carry out their functions. With regards to the activities around reporting on climate change, UNDP's contribution has been in strengthening the ability of national institutions to carry out these tasks on their own. The infrastructure projects in the areas of natural resource management, energy efficiency, waste and water sectors have had two dimensions in terms of their contributions. First, they have demonstrated the value and feasibility of certain technologies, especially in relation to the use of solar, renovations, insulation, water management, etc. Second, they have demonstrated approaches for how these infrastructure projects could be identified and carried out. On both counts, UNDP has introduced innovative concepts which have the potential to shift existing practices into more efficient levels.

4.3. EFFICIENCY

This section provides an assessment of the efficiency of the portfolio by focusing on key parameters closely associated with efficient programme management.

- Operational efficiencies such as budget execution rates, timeliness of project activities and the sector's organizational structure;
- Quality of the human resource;
- Linkages and synergies: the extent to which E&E activities are coordinated with other activities in the sector and the broader UNDP programme;³⁸
- Coordination with development partners: the extent of coordination and cooperation with other development organizations operating in the country.

4.3.1. Operational Efficiencies

Budget Execution Rates

Budget execution rates show the proportion of a project's resources that has been spent at a certain point in the project's lifetime. Inefficient projects are typically inadequately planned or have delays in expenditure which result in higher amounts of spending occurring at accelerated rates closer to project end dates. This typically leads to hurried decisions and hastened implementation which is rarely efficient. Also, project extensions lead to higher administrative costs which reduce the overall efficiency of the intervention. Table 13 below shows budget execution rates for each project in the period 2016-2018 (up to November 2018).³⁹

Table 13: Budget Execution Rates in the E&E Sector

Project	Execution Rates
Desert Project	96%
CB2	99%
Green Bridge	72%
Sustainable Cities	89%
Housing Management	100%
SLM	70%
EESL	83%
EEL	98%
MIA	100%
Medwaste	99%
Green Economy	91%
7NC	100%
CAST	90%
All Projects	90%

³⁸ Close linkages produce synergetic results and lead to cost savings, which improves overall efficiency.

³⁹ The analysis is based on data provided by the CO, not independently verified by the evaluator.

As can be seen from the table, most projects have execution rates between 90 and 100%. Exceptions (with weaker rates) are the following projects – **Green Bridge**, **SLM** and **EESL**. Projects with weaker execution rates tend to be the ones which have started more recently, which is often explained by a tendency to underspend in the first year of the project as the project infrastructure is being established. The overall execution rate for the portfolio for the period in question is 90%.

Table 14 shows in more detail budgeted and spent amounts for all 13 E&E projects for each year of the 2016-2018 period. Year 2016 had an overall execution rate of about 80%, followed with years 2017 and 2018 with rates 94% and 98% respectively. Further, from the table it can be seen that the **SLM** and **Green Bridge** projects had a significant under execution in 2016, followed by CAST, Green Economy and Sustainable Cities in the same year.

Table 14: Budget Execution Rates by Project and Year**Table 5: Projects' Budgets and Expenditures by Year**

No.	Project	2016 Budget	2016 Expenditure	2017 Budget	2017 Expenditure	2018 Budget	2018 Expenditure (as of Nov 2018)	Total 3-Year Budget	Total 3-Year Expenditure	Execution Rates
1	Desert Project	943,539	889,434	759,809	730,041	446,012	440,012	2,149,360	2,059,487	96%
2	CB2	127,188	126,781	258,782	256,015	0	0	385,970	382,796	99%
3	Green Bridge	628,100	312,562	516,088	506,920	0	0	1,144,188	819,482	72%
4	Sustainable Cities	685,355	565,403	683,350	614,812	829,658	769,658	2,198,363	1,949,873	89%
5	Housing Management	0	0	52,000	51,797	957,196	957,196	1,009,196	1,008,993	100%
6	SLM	898,719	347,612	738503	697804	305732	305732	1,942,954	1,351,148	70%
7	EESL	0	0	170,300	17,205	737,500	737,500	907,800	754,705	83%
8	EEL	715,000	695,520	385,472	383047	0	0	1,100,472	1,078,567	98%
9	MIA	0	0	16,504	16,155	324,960	324,960	341,464	341,115	100%
10	Medwaste	1,586,285	1,566,520	800,470	794,411	0	0	2,386,755	2,360,931	99%
11	Green Economy	2,445,847	2,040,226	4,618,655	4,237,779	1,501,393	1,501,393	8,565,895	7,779,398	91%
12	7NC	246,254	244,320	288,803	288,645	154,638	154,638	689,695	687,603	100%
13	CAST	777,676	582,299	1,225,292	1,223,294	0	0	2,002,968	1,805,593	90%

Timeliness of Project Activities

Another indicator of project efficiencies is the extent to which implementation falls behind established timelines. One quick way of assessing this is to look at projects that require extensions to complete planned activities.

As can be seen from Figure 1 on page 29 (Chapter 3), the CO reported only one project to have needed extensions – **CAST**.⁴⁰ It remains to be seen whether the newly started projects will be able to complete their activities on time (the Sustainable Cities project is projected to need an extension according to the CO).

Based on the review of the programme documentary and interviews with stakeholders, this evaluation found that project activities (including procurement and recruitment) are generally taking place within agreed timelines. Partners were overall pleased with the pace of implementation and rated UNDP procedures as fast and efficient.

4.3.2. Quality of the Human Resource

UNDP's single most important assets are its people. The quality of the individuals who deliver its activities is crucial for the quality of its work, as well as its reputation, competitiveness, partnerships, fundraising ability and ultimately its value proposition. There are multiple links between the quality of UNDP's human resource and the efficiency of its work.

The assessment of the quality of the human resources employed by the E&E projects revealed that overall it is adequate and in line with country needs and programme requirements. The SDU unit is structured effectively and functions well. There are clear roles and responsibilities and lines of accountability for team members. Project staff are highly-qualified individuals who work in challenging circumstances. Many of them have previous experience with implementing UNDP projects and are proficient with UNDP operational rules and procedures.

The CO has created portfolios which combine projects into bundles and which enables a project manager to manage a bundle of projects, rather than an individual project. The portfolio approach to managing the projects appears to have been useful, allowing the unit to create economies of scale and maintain project managers and staff when individual projects close down.⁴¹ This has provided a good solution to the perennial challenge of short project timeframes faced by most UNDP COs. Short timeframes do not allow for job stability for the people employed in the projects, which typically leads to high turnover rates. Also, significant investments in the capacity of project staff are not possible in such short timeframes. The fact that the CO has created depth in the areas of biodiversity and natural resource management and climate change and energy efficiency has

⁴⁰ According to the Terminal Evaluation, the **CB2** project had a three-month extension which is not reflected in the chart.

⁴¹ In December 2015, the RBEC Senior Management approved the new structure for the office for the new CPD cycle. The new structure, which came into effect in 2016, included the consolidation of projects into larger umbrella thematic portfolios.

facilitated, and has in turn been facilitated by, the creation of these bundles. Further, the current project teams seem to be well-managed and led by competent managers, which have been with the UNDP for quite some time and have developed their skills and contacts with the government. The portfolio approach should be maintained and, where possible, further consolidated.

Also, the way the unit is embedded into the overall CO structure seems quite effective. The current organizational structure seems to have stabilized, in contrast to some other UNDP COs where it is under continuous restructuring. This stability enables the sector to develop clear profiles and roles and maintain competent staff. The sector has also addressed well another major challenge the CO faces in this area - the technical nature of the E&E cluster. Project staff, and in particular project managers, have not only good management or administrative skills, but also deep technical knowledge and experience in the areas they cover (i.e. climate change, energy efficiency, water management, etc.). The sector relies on a set of CTAs with solid skills, who were praised by a number of partners during interviews for this evaluation.

4.3.3. Programme Synergies and Linkages

Another angle from which to assess the efficiency of the E&E programme is by examining the extent to which project activities have been coordinated and synergetic with other activities in the cluster and the broader country programme. From an efficiency perspective, it is important to understand how various project activities have reinforced each other and the degree to which the programme has functioned as one.

Synergies within the E&E Sector

Overall, the evaluation found that the similar nature of many of this cluster's projects, with a focus on biodiversity, climate change, energy efficiency and water and waste management, has allowed the sector team to forge good cooperation between projects. This is not always easy or straightforward, because the opportunistic nature of UNDP's funding model does now allow for great flexibility in the design and structuring of the programme. Often, in its continuous search for funds, UNDP has to find compromises between government and donor preferences and interests and its own operational modalities set by Headquarters. Compromise sometimes results in individual projects with specific requirements that are difficult to integrate into the broader programme framework.

What has helped UNDP in creating better synergies between its sectoral work in the area of E&E is the portfolio approach that the CO has introduced in the management of projects (E&E portfolios have been described in section 3.4. of this report). This helps create strong linkages between projects in a portfolio. Based on this approach, one project manager manages a portfolio of projects, rather than just one. Also, technical experts work across project boundaries within the portfolio, which allows for faster implementation of activities and cost savings.

For example, the biodiversity portfolio integrates three relevant projects that complement each other's interventions: *Desert Project*, *CB2* and *Green Bridge*. The *Desert Project*'s focus on the sustainability of protected areas in the deserts is complemented by *CB2*'s evaluation of ecosystem services in these protected areas, and both interventions benefit from the green technology pilots demonstrated through the *Green Bridge* project. Also, in the area of energy efficiency, placing the “*EESL*” and “*EEL*” in one portfolio was a judicious move from an efficiency perspective, as these two projects share a lot in common, not only in terms of objectives, but also activities. There are also substantial complementarities and synergies between the *Sustainable Cities* and *Housing Management* projects which are placed in one portfolio. There are also strong complementarities between the *Sustainable Cities* and *EEL* projects, although they are placed in different portfolios. In the area of waste management, the *Medwaste* and *MIA* projects managed under one portfolio have many complementarities, especially on issues related to the management of mercury waste.

In some areas, where UNDP has created considerable depth through many years of activities, there are also temporal linkages and synergies. This means that recent activities build on foundations laid by previous interventions, which facilitates the preservation of institutional memory and best practices. This is particularly the case in the areas of biodiversity and energy efficiency where UNDP has had a long involvement in the country. For example, both *Sustainable Cities* and *EEL* projects build on two previous GEF-funded projects – “*Removing Barriers to Energy Efficiency in Municipal Hot Water and Heat Supply*” (2007-2013), which developed schemes for the attraction of energy-saving investments in residential buildings, and “*Energy Efficient Design and Construction of Residential Buildings*” (2010-2015), which introduced more energy-efficient design and construction methods in new residential buildings. The *Medwaste* project builds on a previous GEF-funded project implemented by UNDP and the Government of Kazakhstan in the period 2003-2006 which led to the development of Kazakhstan's first National Implementation Plan (NIP).⁴² This NIP, however, did not include new and unintended POPs, so the need for an updated NIP led to the development of the *Medwaste* project as a follow up to the previous one.

Overall, most project documents that were reviewed for this evaluation do take into account lessons and experiences drawn from previous interventions in their area. Within the limitations imposed by the donor-funded nature of the activities, the sector team has found a good balance in strengthening linkages between the various projects and forging synergies between them.

Synergies with Other Sectors

As has already been discussed in section 3.4, the CO has two main programme units – SDU and GLD – covering three outcome areas (in addition to regional cooperation which is a smaller section of the programme). Interviewees for this evaluation noted that regular meetings at the programme level take place to coordinate activities between the GLD and SDU units.

⁴² The project was entitled “Assistance to Kazakhstan in Fulfilling its Commitments Under the Stockholm Convention of Persistent Organic Pollutants”.

However, the evidence on synergies between projects was less substantial outside the cluster than within. A number of stakeholders of E&E projects were not well aware of UNDP projects in other areas and could not speak to joint initiatives. Also, a quick review of the portfolio's project documents revealed no strong linkages are identified at the design stage with projects from the governance sector. There are obvious reasons for why greater synergies across sectors are difficult to forge. UNDP's funding is often of an opportunistic nature, so projects are developed with specific donors in mind and are driven by specific donor requirements and priorities, resulting in programmatic fragmentation and multiple projects with sometimes overlapping outputs and activities, potentially limiting results and impact. Also, when the funding source is committed to a specific issue or project, sector "silos" emerge within the programme and get further reinforced by separate project teams and steering committees. UNDP's funding model is not going to change any time soon, so the challenges of creating synergies between the different sectors will remain. What the CO can do, however, is to strengthen project linkages as much as possible within the existing constraints.

The potential for stronger cross-sectoral cooperation between *E&E* and *Governance* projects is significant especially at the sub-national (local/regional) level. The *E&E* sector too has a significant focus on the local level. Table 15 below shows the level of engagement of the 13 E&E projects that fall under the scope of this evaluation. Six of them have specific activities targeted at the oblast, rayon or akimat level. Projects such as *Sustainable Cities*, *Green Economy*, *CAST*, *Housing Management*, *SLM* and *Desert* have a significant footprint at the akimat and rayon level. Although they have a thematic focus (on issues such as energy efficiency, natural resource or water management), these projects share common objectives with the *Governance* sector such as promoting economic diversification at the local level, strengthening the effectiveness of institutions and enhancing the capabilities of sub-national governments to carry out their functions.

Table 15: Level of Engagement of E&E Projects

No.	Project	National Level	Oblast Level	Rayon Level	Akimat Level
1	Desert Project	x	x	x	x
2	CB2	x			
3	Green Bridge	x			
4	Sustainable Cities	x	x		x
5	Housing Management	x			x
6	SLM	x	x	x	x
7	EESL	x			
8	EEL	x			
9	MIA	x			
10	Medwaste	x	x	x	
11	Green Economy	x		x	x
12	7NC	x			
13	CAST	x			x

Of particular relevance to the SDU unit are the local level activities of the “*diversification*” cluster. Until recently, UNDP has run two regional projects in the Kyzylorda and Mangystau areas focused on (a) social and economic development – by creating employment opportunities for women and the disabled through small loans and micro grants (b) capacity building of local government – including civil servants - to plan and execute development schemes and (c) to promote ‘green’ technologies for sustainable environmental and energy resources and community resilience against natural disasters. These two regional projects established an integrated area based approach, combining the three strands of sustainable development. Activities have focused on skills development, promoting small enterprises run by women and disabled persons. The promotion of ‘green’ technologies or green enterprises has been an important part of activities.

UNDP’s access to local communities and authorities through its regional programmes such as the two projects mentioned above is an invaluable asset which some of the E&E projects that work at the sub-national level could tap into more effectively to save costs and accelerate activities. In particular, UNDP’s work in support of strategic planning creates openings and opportunities for linkages for all kinds of other initiatives and activities through the planning and budgeting process. In this sense, “*diversification*” activities at the local level provide the *E&E* sector with a platform on which to embed further initiatives. For example, one of the objectives of the *SLM* project was supporting local governments in the land use planning process, which is directly related to broader regional development planning. There is also significant potential for efficiency gains from sharing assets or integrating activities – i.e. reduced overhead and administrative costs.

During interviews for this evaluation, the CO provided examples of cooperation between the sectors in the Mangystau and Kyzylorda regions where both units have had activities. In these locations, the two units, jointly with local governments, defined and implemented key initiatives such as greenhouses, renewables, aquaculture, open swimming pools, park infrastructure, energy modernization in housing, plastic recycling plants, etc. It was noted that while GLD focused on social aspects, SDU focused on the environmental issues and leveraging technologies for social development.

However, there is scope for stronger cooperation and integration between the two sectors at the sub-national level. The CO should strive for further integration and consolidation of its operations at the local level and should strengthen its operational strategy at the sub-national level. In the upcoming CPD, the CO could consider integrating the *E&E* and *diversification* clusters, as they are quite close in the nature of their activities, especially at the sub-national level (i.e. job creation, green growth, etc.) The assumption here is that there will be diversification activities ongoing in the next programme cycle. Such a move will lead to stronger integration between *E&E* and *diversification* activities and will free the governance portfolio to be more focused on institutional and good governance issues.

This strategy could also include integrated frameworks for project planning and implementation at the sub-national level matched with the CO’s plans at the national level. Such an approach will

enable UNDP to weave more effectively cross-cutting issues (such as energy efficiency, citizen engagement, social inclusion, transparency and accountability, gender equality) into thematic activities (i.e. community development, improved service delivery, disaster resilience, etc.).

4.3.4. Coordination with National and Development Partners

During this programme cycle, the Government of Kazakhstan has undergone significant changes, especially in the areas that are relevant to the E&E cluster. Since adoption of the Green Economy Concept in 2013, the government has established Green Economy Council with UN participation. The Council gathers annually and considers strategic directions in the transition to a green economy model. UNDP's planned programme activities and proposals for government cost-sharing projects are annually presented at the Strategic Advisory Council led by Deputy Prime Minister. A major government restructuring that took place in 2014 led to the dissolution of the Ministry of Environmental Protection and Water Resources and transfer of its functions to the Ministry of Energy and Ministry of Agriculture. The Committee for Forestry and Hunting (CFH) was moved into the Ministry of Agriculture and merged with Fisheries to become the Committee for Forestry and Wildlife (CFW). Climate change and energy efficiency policies were transferred to the Ministry of Energy.

The Ministry of Energy (Department of Green Economy and Department of Climate Change) is now the focal point for UNDP's E&E cluster. It also acts as a focal point for GEF and GCF projects. Coordination is carried out through the Department of Green Economy in the Ministry. UNDP provides the Ministry of Energy with reports on all E&E projects on a semi-annual basis. Other key partner ministries for this cluster are the Ministry of Agriculture and the Ministry of Investment and Development. UNDP also works in this area with a range of civil society organisations. UNDP has also partnered with a number of domestic financial institutions such as the Fund for Entrepreneurship Development "Damu" (rural business), National "Baiterek" Holding (construction, infrastructure, innovation), JSC "Sovereign Wealth Fund "Samruk-Kazyna" (energy), JSC "National Holding "KazAgro" (agriculture), etc.

In addition to the restructuring, the government has been experiences a high turnover rate among its staff. Some of the key institutions have experienced frequent changes in the senior and middle management, which has in some cases lead to delays in project implementation. This includes the Ministry of Energy and the GEF focal point which is an essential position for GEF-funded projects.

From the interviews with government counterparts, it was clear that the government values UNDP's expertise and support. This is the main reason why the government is financing UNDP projects and providing significant co-financing (as will be seen in more detail further). The government also actively engages UNDP projects into various working groups on strategy development and drafting of legislation. The CO has been able to establish trust and confidence with the main partners by involving them closely in the process. UNDP has active focal points and contacts in all relevant government bodies. Projects' annual work plans are discussed with

government partners during Project Board meetings and adjusted according to members' feedback. All project activities, including at sub-national level are coordinated with the government counterparts on the national level.

Overall, donor coordination in both the area of environmental protection and energy efficiency was perceived as weak by most of the stakeholders interviewed for this evaluation. Development partners hold coordination meetings annually, but the level of cooperation is mainly on information sharing. The government does not seem to play a major role in donor coordination and seems to lack the capacity and commitment to coordinate the donor community and harmonize incoming financial flows. Overall, the leadership role of the government is lacking and information about donor activities in this area is fragmented.

UNDP has played a constructive role in this environment and has led coordination around specific issues on the basis of its ongoing projects. It has actively partnered with the development partners like EBRD (infrastructure projects in renewables, transport and green-tech), Islamic Development Bank (water, agriculture), World Bank (road infrastructure, water, energy efficiency), USAID (agriculture, renewables, water), EU (water, energy, agriculture), etc. UNDP has also cooperated with the Korean Forest Service, Green Climate Fund, BIOFIN Global, Russian Trust Fund, Coca-Cola, etc.

The lack of strong donor coordination presents an opportunity for UNDP to become more involved in the coordination of development assistance. In the E&E area, UNDP is well-positioned and capable of playing a more important role, and, through that role, to be able to mobilize more resources for its operations in the country. Especially at the sub-national level, UNDP is well positioned to help governments and donors coordinate their efforts more effectively, which may also provide additional funding opportunities.

UNDP has also cooperated with relevant UN agencies under the UN Result Group 3 for Sustainable Environment, which UNDP co-chairs with UNEP. As already mentioned, UNDP has been implementing jointly with UNECE the EU-funded project on *Green Economy*. Other agencies UNDP has cooperated with include UNICEF (children and environment), UNECE (water and energy), UNESCO (transboundary waters and biodiversity conservation), UNIDO (energy and industry), IOM (migrants, climate change and DRR), WHO (health and climate change), etc.

4.4. SUSTAINABILITY

While the sustainability of UNDP's work in the E&E area is shaped by a number of factors, the focus of this report will be on those aspects that require more attention from the sector team and CO management. The areas that will be reviewed in this section are: i) policy implementation; ii) pilots, replication, and institutionalization; iii) co-financing by the government and private sector; and, iv) information sharing and awareness raising.

4.4.1. Policy Implementation

A key feature of UNDP's E&E programme with important implications for sustainability is its focus on policy formulation. A number of projects have contributed to the development of policy instruments - draft laws, regulations or strategies. For example, the **Desert** project has supported amendments to the Law on Protected Areas, the **CB2** project has supported 33 amendments to two environmental codes and the development of three draft laws, the **Green Bridge** project has supported 62 amendments to the "Law on Protection, Reproduction and Use of the Wildlife", the **Housing Management** project has supported the development of one draft law and six legal acts, the **SLM** project has supported the development of the "Law on Pasture" and "Law on Organic Farming", etc. Projects like **Green Economy**, **EEL**, and **Medwaste** have supported the development of a range of standards and methodologies in their respective areas.

Beyond the approval/adoption of policy and legislation, a serious issue for all levels of government is implementation. Kazakhstan has developed and adopted numerous policy documents related to the concept of green economy (see Table 8 for the list of major strategies in the area of environment and energy efficiency). However, a severe problem is weak implementation. This was identified as a major issue by many stakeholders interviewed for this evaluation. Insufficient follow through on policy development is a systemic challenge for all levels of government. A number of approved programmes in the energy and environmental sectors exist on paper and are not implemented. Years of reforms and amendments in legislation and policies have led to only small improvements in the capability to implement.

The lack of implementation has an impact on the sustainability of UNDP projects supporting policy reforms because in such a situation projects have a hard time turning project outputs (such as policies, regulations, studies, etc.) into sustained action leading to improved outcomes related energy efficiency or environmental protection. For example, the **CAST** project supported the development of a number of policies and strategies related to the city of Almaty (i.e. Transport Demand Model, Sustainable Urban Transport Strategy and Action Plan, a feasibility study for the implementation of an LRT line, Parking Strategy and organization of on-street parking management, etc.). However, it had limited impact on the actual implementation of these strategies. As the mid-term evaluation of the project noted with regards to the parking strategy, *"the municipality has been unable to make any tangible progress in the implementation of a*

parking policy, and in fact it seems that there is no consensus among the various departments involved in the way forward.”⁴³

The SDU team has taken some good steps in dealing with the problem of implementation. UNDP interventions in this area have not only supported the development of policy but also the capability of government entities to implement policies. The focus has been on human resource and financing aspects which are key (but not the only) prerequisites for implementation. Some of the key projects in the portfolio (i.e. **Housing Management**, **Sustainable Cities**, **CB2**, etc.) are focused in particular on helping the government establish sound and sustainable financing mechanisms in the areas of energy efficiency, renewables, water management, etc.

UNDP’s focus on financing mechanisms in the environmental and energy efficiency sectors has been an important feature of the E&E programme and is commendable. However, there is room for further work on supporting authorities to focus more on the implementation of laws and regulations on the ground. One area of work is to challenge the mentality of “passing laws is all that matters” that was noted in some of the interviews with government stakeholders during this evaluation. According to this mentality, the passing of a law or the adoption of a strategy is considered a success. At the level of project design, the CO could take a more comprehensive and analytical approach on the support it provides to governments, covering the whole policy spectrum, including implementation aspects.⁴⁴ The implementation challenge is a big question that falls outside the scope of this evaluation, but one which the unit team and CO management could explore further.

4.4.2. Pilots, Replication and Institutionalization

UNDP’s E&E programme has had a significant focus on piloting and demonstrating innovative solutions to specific problems, with the expectation that if successful they will be replicated, scaled up and institutionalized by government institutions. The general idea is that UNDP is not in the business of solving specific problems, but helping national stakeholders identify systemic solutions to these problems.

The following are just a few (non-exhaustive) examples that provide a sense of the importance and intensity of piloting in this portfolio of projects:

- **SLM** project has had a strong focus on the demonstration of innovative techniques and schemes in integrated territorial and land use planning in steppe, arid and semi-arid zones

⁴³ Mid-Term Evaluation of the GEF/UNDP Project "City Almaty Sustainable Transport", March 2014.

⁴⁴ In this approach, UNDP’s focus could be not only on passing laws and strategies, but also on creating and strengthening the organizational structures that will implement those laws and strategies. A series of steps need to be considered for building successful organizations, including drafting and adopting laws that create institutions and organizations, staffing organizations and allocating funding for their operations, training management and staff to implement policies, etc.

in six different regions of Kazakhstan, ultimately aiming at enhancing the conservation-friendliness and sustainability of productive agricultural landscapes.

- **Desert** project carried out a host of pilot activities, including: i) restoration of the Aidarkol lakes system; ii) rehabilitation of two areas of degraded pastures through the establishment of “distant pastures” through the restoration of water points and accommodation; iii) diversification and rotation of crops (away from rice monocultures) in demonstration sites in the Akdala area of the Balkash rayon; iv) conservation of Asiatic poplar woodlands; and, v) introduction of water and energy saving technologies for tree nurseries. The project worked with the laboratory of the National Forest Seed Breeding Centre to propagate Asiatic poplar seedlings for the first time and plant them in three pilot sites. An ecological monitoring system was put into place to support and inform conservation and land use planning in the pilot or demonstration sites.
- **Green Economy** project implemented a “grant programme” consisting of 11 small pilots and 4 large pilots primarily in the area of water management. The grant programme was designed to demonstrate that green technologies can not only reduce pressure on natural resources, but also improve economic efficiency with acceptable initial costs.
- **Green Bridge** piloted a number of solar energy projects in the Astana and Almaty regions and a fishing farm in the Aktobe region.
- **CB2** project piloted a methodology and tools for the economic valuation of natural resources in Ile-Balkhash and Kansu area of Karakiya district of Mangistau region.
- **Sustainable Cities** project has had an innovative and piloting nature, especially regarding the creation of a financial support mechanism. The project has worked with 15 partner cities to help them identify, prioritize and prepare bankable energy efficiency projects through a variety of instruments, including Public-Private Partnerships (PPP). For the selected pilot cities, a list of urban sector projects was identified on the basis of economic calculations and risk analysis.
- **EEL** demonstrated the technical feasibility and the economic, social and environmental impact of energy-efficient lighting in two piloting sites in Astana and Almaty. The project also piloted the developed of schemes for the collection, transportation, and utilization of mercury lamps.
- **Medwaste** project piloted in East-Kazakhstan, Kostanay regions and the city of Astana the safe disposal of medical waste through autoclaving.
- **Housing Management** project involves the piloting of the management of residential buildings in two locations.

This evaluation found that the unit team has moved away from one-off investments in infrastructure, and is now contributing to the institutionalization of practices and systems through systematic approaches. The unit has focused in particular on the establishment of methodologies and systems for investments by the public sector. The results of UNDP’s work in this area are positive. The focus on methodologies and systems integrated into the workings of government

institutions is a strong factor of sustainability for UNDP's projects. For example, the final evaluation of the **EEL** project noted that the scheme developed under the project for the collection, transportation, and utilization of mercury lamps was being replicated in nine other regions.

However, there is room for further improvement in this area. One important area is having a clear strategy for how these piloting initiatives will be brought to scale. This challenge has been noted in a number of project evaluations. As the mid-term evaluation of the **SLM** project noted, the project "could have been more ambitious in replicating and scaling-up the lessons learned and best practices identified under outcome one, focusing for instance on developing/strengthening the SLM capacity of agriculture extension services throughout Kazakhstan and institutionalizing the ILUP process nation-wide. These services are key to scale up the project results." Also, the mid-term evaluation of the **Desert** project pointed out that "for some of the other aspects of the project, it is unclear how i) results will be replicated and ii) how the impact will be measured. The PMU should strive to find mechanisms for replication and for measuring the impacts of the work they are carrying out." Also, the evaluation of the CAST project suggested that "to ensure the benefits of the demonstration projects in terms of incorporation of the good practices and lessons learnt in the replication projects, it is recommended that the process of dissemination of the results and lessons learnt from the demonstration projects be institutionalized". Some UNDP COs like Bosnia and Herzegovina have undertaken studies into the replication and scaling up of their pilot initiatives which have helped them develop strategies for how to approach this aspect of sustainability for effectively. This is an experience that UNDP Kazakhstan could look into.

Another area where the unit team could make improvements is in strengthening the system for the monitoring and tracking of the performance of pilots over time – the lessons they generate during the piloting stage and the extent to which they get replicated and scaled up. Information about pilots and replication was not easily available or sufficient in the UNDP reporting documents reviewed for this evaluation. More data on this will be useful not only for the CO, but also for partners and donors. As part of the monitoring and evaluation system, the programme could track pilot initiatives over time and way beyond the end of a project's lifetime – which is typically too short to allow for a definitive assessment of the success of pilots. Ultimately, the CO could strengthen its planning and monitoring of pilot initiatives and their demonstration effects, so that their replicability and scaling up are monitored and supported more effectively. The CO could focus more on documenting results, lessons, experiences, and good practices so that they are shared more widely, replicated, and scaled up.

4.4.3. Co-financing by the Government and the Private Sector

In the current programme cycle, the E&E portfolio has generated significant commitments of co-financing or cost-sharing by government entities or the private sector. Co-financing is not only an indication of commitment and ownership by national partners, but also an important aspect of

sustainability. It is important that the projects promoted by UNDP be placed on a sound footing with sustainable financing provided by the state or the market.

Table 16 below shows the amount of contributions committed the government (national and subnational levels) and other sources (primarily the private sector) as agreed in signed project documents. This is mainly in the form of in-kind contributions for the various demonstration pilots or infrastructure initiatives designed to take place under the projects. For the whole sector, the amount of co-financing expected from government sources is more than US\$ 153 m. Furthermore, more than US\$ 90 m is expected from other sources, including the private sector.

Table 16: Project Financing

No.	Project	GEF Contributions (cash)	Other Donor Contributions (cash)	UNDP Contributions (cash)	UNDP Contributions (in kind)	Gov. Contributions (in kind)	Other/Private Sector Contrib. (in kind)
1	Desert Project	4,364,000	0	0	700,000	12,629,954	5,849,339
2	CB2	500,000	0	0	50,000	500,000	0
3	Green Bridge	0	1,433,894	0	197,047	0	0
4	Sustainable Cities	5,930,000	0	60,000	0	30,893,435	33,435,659
5	Housing Management	0	1,008,222	0	860,220	0	0
6	SLM	1,900,000	0	0	700,000	6,630,220	1,665,702
7	EESL	3,500,000	0	0	300,000	10,510,511	1,432,132
8	EEL	3,400,000	0	50,000	0	27,403,502	1,168,836
9	MIA	400,000	0	0	0	0	0
10	Medwaste	3,300,000	0	75,000	100,000	34,315,820	521,958
11	Green Economy	0	8,333,000	0	0	0	0
12	7NC	852,000	0	0	60,000	796,768	0
13	CAST	4,886,000	0	0	50,000	30,050,000	46,426,000
Total		29,032,000	10,775,116	185,000	3,017,267	153,730,210	90,499,626

For some projects, government co-financing constitutes a significant part of the resources expected to be spent under the project – for example, in each of the *Sustainable Cities*, *EEL*, *Medwaste* and *CAST* projects the government was expected to contribute about US\$ 30 m, whereas in the *Desert* and *EES* projects government counterparts were expected to contribute more than US\$ 10 m. These are significant amounts – combined for the whole portfolio they represent more than five times the total amount provided by donors and UNDP combined. At the execution stage, the evaluation noted a number of positive examples in which local counterparts provided significant co-financing. In the *Medwaste* project, about US\$ 35 m of co-financing was provided by city governments (akimats) and healthcare entities.⁴⁵ The Green Economy project pursued 11 small and 4 large pilots, financed 53% with grant funds from the project and 47% with co-financing.⁴⁶

UNDP has also been instrumental in the establishment of financing mechanisms, especially in the area of energy efficiency. The *Sustainable Cities* project has supported the Ministry for Investments and Development and the Damu Entrepreneurship Development Fund in establishing a financing mechanism that will attract investments from the private and banking sectors in energy

⁴⁵ Figure reported in the final evaluation report of the *Medwaste* project.

⁴⁶ The project support provided for the 14 pilots was over 253.8 million KZT and mobilized an additional 195 million KZT from other sources, which confirmed the economic attractiveness of the suggested “green” solutions.

saving projects. The financing mechanism that is being established includes instruments such as interest rate subsidies and loan guarantees for private sector projects that are aimed at energy saving in city heating, water supply, public and residential buildings, urban sewage and treatment systems, street and interior lighting, etc.⁴⁷ Using this financing mechanism, the *Sustainable Cities* project was designed to implement one pilot urban project that involves a comprehensive modernization in one of the pilot cities, including the modernization of buildings, structures, engineering networks, waste management systems and transport infrastructure. Astana was selected as a pilot city with the proposal to modernize the urban five apartment buildings. The *Desert* project has supported the development of mechanisms for the provision of micro-credits in locations adjacent to protected areas aimed at the replacement of unsustainable practices with alternative ones. It also helped authorities establish a payment system for protected areas.

However, not all financing commitments shown in Table 16 have materialized yet. It is often difficult to establish what amount of co-financing and parallel financing was generated by a project. For example, the mid-term evaluation of the *CAST* project noted difficulties in tracking co-financing by government and International Financial Institutions (IFIs), especially IFC.⁴⁸ It is also not always clear how certain investments are related to a project (for example, the co-financing amount defined in the *CAST* project document is USD 76 m, against which about USD 231 m have been mobilized.). These are very large amounts for which it is important to clarify the links to the project.⁴⁹ This requires the establishment of clear methods and systems for defining these financing streams and tracking them over time.

The promotion of co-financing and the move from grants to market-based mechanisms has been a positive feature of the E&E programme. UNDP should continue to build on these achievements by strengthening competitive market mechanisms to ensure the sustainability and scale of initiatives. Instead of providing grants, UNDP should further strengthen incentives and conditions for the initiatives it promotes to secure access to international financial institutions and banks for finance. By playing the role of the catalyzer, UNDP will be able to achieve much more impact than if it had just provided grants.

⁴⁷ The financing mechanism is called “Municipal Energy Efficiency Investment Support Facility” and will be managed by the Damu Entrepreneurship Development Fund. On the basis of this mechanism, each quarter there will be a competition to support low-carbon city projects. At the end of each quarter, applications will be evaluated and selected by an expert commission.

⁴⁸ Mid-Term Evaluation of the GEF/UNDP Project "City Almaty Sustainable Transport", March 2014.

⁴⁹ As an example, the following large-scale investments in the municipality of Almaty are qualified as co-financing in the *CAST* project - USD 74.5 million EBRD loan for purchasing modern CNG busses; USD 14,2 million EBRD loan for purchasing of new 195 trolleybuses; USD 47,5 million Municipal funds spent for purchasing new municipal public transport fleet (additional 200 CNG buses, 17 trams (not under operation now), 200 CNG taxis).

4.4.4. Information Sharing and Awareness Raising

Most of the projects in the E&E portfolio have significant components related to information sharing and awareness raising around issues of sustainable development, promotion of energy efficiency and renewable energies, good water management practices, etc. *Sustainable Cities*, *CAST*, *Medwaste* and *EEL* are examples of projects that have had large awareness raising components, with large budgets for public information activities. This evaluation was not able to estimate of the amount of money spent on awareness raising activities, but the number must be quite significant relative to the total budget spent for the portfolio.

While many of these activities are useful and serve a clear purpose, this is probably a good time for the UNDP to take a more strategic approach in this area. Taking the work on information sharing and awareness one notch up will help the CO strengthen its impact and image in the country.

The first thing that the CO could do in this area is to recognize the information sharing and awareness raising are done for a simple reason – to change people’s behavior. If we take the EEL project, for example, changing consumer behavior to shift to energy efficient lighting and safe disposal of the CFLs is one of its main objectives. So, when designing information campaigns and events, it is important to ask what behavior and whose behavior are we trying to change? This requires a lot of careful thinking about the type of behavior we want to promote and the agents whose behavior we want to change. As a next step, it is also important to understand what type of information and what channel of information has the potential to change the identified behavior in the target group. The way the information is packaged matters a lot, but who carries the information and how that person is perceived by the target group matters even more. In this sense, it is important to understand whose opinion matters for the target group and how that opinion can be constructed and used to influence behavior. It is also important to recognize that individuals operate in a social environment and that human behavior is largely influenced by social norms set by the community in which an individual embedded. So, if we want to change an individual’s behavior, we also have to understand the prevailing social norms in his/her community and the factors that shape those social norms.

As can be seen from this very short discussion, the area of information sharing and awareness raising is quite complex and requires a lot of thinking and strategizing. The latest research on social psychology has produced many interesting insights about this type of work which many development organization have begun to internalize in their work. The approach that was noted during this evaluation in the CO’s programme and projects was more simplistic, focusing on carrying a certain message to the target group without reflecting too deeply about the process of behavior change and strategizing about the various instruments that can be used to change behavior. This is something that the CO could consider more strategically and systematically in the context of the development of the new CPD and new projects.

CHAPTER 5: STRATEGIC POSITIONING

This section analyzes UNDP's comparative advantage and its positioning in the country's development context relative to its comparative advantage. It also examines the partnerships' strategy that UNDP could pursue and identify sources of funding which the CO could tap into for its next programme cycle.

5.1. UNDP'S COMPARATIVE ADVANTAGE

UNDP is well-positioned and has significant comparative advantages in the area of E&E in Kazakhstan.

- First, UNDP has accumulated an extensive experience in addressing energy and environmental issues in the country and has created significant depth in the areas of biodiversity and natural resources, climate change and energy efficiency, and waste and water management.
- Second, meetings conducted for this evaluation with a wide range of actors confirmed that UNDP has developed good relations with governments and civil society at all levels. Stakeholders value UNDP for its neutrality and impartiality and trust and respect it. The access to governments and civil society that UNDP enjoys place it in a good position to play a strong advocacy role and undertake pioneering initiatives.
- Third, UNDP enjoys high visibility and a good image in the country. Partners from all sides noted UNDP's good financial system control, effective procurement systems, and transparent decision making.
- Fourth, UNDP manages a broad global and regional portfolio of environment and energy projects, ranging from climate change to energy efficiency, to international waters, which it can leverage for its activities in Kazakhstan. When needed, UNDP is able to mobilize support from a range of UNDP and UN structures. Its access to a vast global network of experts allows it to tap into comparative experiences and technical support from other regions. Regional technical advisors assist with project formulation and input into the development of the logical frameworks, recruitment of international experts, identification of key stakeholders, etc.
- Fifth, UNDP's has built a strong record of working with GEF on energy efficiency and environmental projects in the world, but also Kazakhstan in particular. This experience and capacity give UNDP a significant comparative advantage in developing and implementing these types of projects in Kazakhstan.

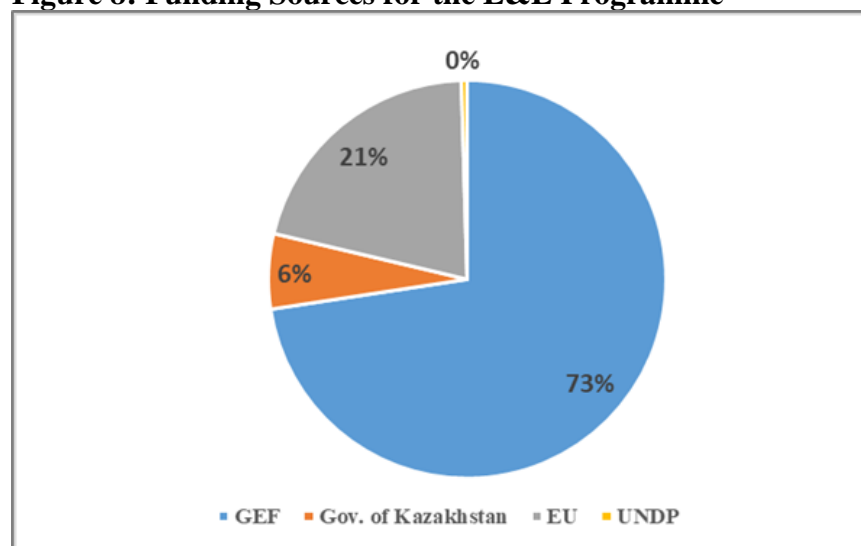
These factors provide UNDP Kazakhstan with a really strong comparative advantage in the area of E&E and portend well for its future. The CO, however, should not become complacent, but should continue to build on the good foundations it has laid to further strengthen these success factors.

5.2. POSITIONING AND RESOURCE MOBILIZATION

As has already been discussed in Chapter 3 of this report (and shown in Table 6), UNDP's E&E portfolio consists of four main thematic pillars – i) *Energy Efficiency and Climate Change*, ii) *Biodiversity and Natural Resource Management*, iii) *Chemicals and Waste Management*, and; iv) *Water Management*. There are certainly other aspects that are addressed by the E&E projects – such as land management, transport, disaster risk reduction, etc. – but these are usually smaller aspects that are embedded into the main themes listed above.

The E&E programme constitutes the largest sector in the country programme and has grown significantly recently. In terms of funding, the E&E programme has relied primarily on one major donor – GEF. With the largest GEF portfolio in the Regional Bureau for Europe and the Commonwealth of Independent States, UNDP Kazakhstan has been particularly successful in mobilizing funding from this source. In the portfolio of 13 projects, GEF has financed 10, contributing a total of about US\$ 29 m and thus providing 73% of the portfolio's total financing (as shown in Figure 8 below).⁵⁰ Also, the EU has provided more than US\$ 8 m in the area of water management. This constitutes 21% of total financing for the portfolio. A smaller contribution of about US\$ 2.5 m has been provided by the Government of Kazakhstan which represents about 6% of the total portfolio.

Figure 8: Funding Sources for the E&E Programme



The success of the E&E sector in resource mobilization can be seen in Table 17 below. At the beginning of the programme cycle, the CO budgeted in its CPD about US\$ 23 m for the E&E sector. As of the time of the evaluation (November 2018), the sector had spent about US\$ 24 m – US\$ 1 m in excess of the full-cycle target two years ahead of the end of the cycle. This is a

⁵⁰ Please note that these figures do not include the other 11 projects which are part of the E&E sector, but have not been included in this evaluation.

significant achievement, especially when set against the other sectors which at the point of this evaluation had spent between 25 and 60% of what they had planned in the CPD.

Table 17: Budgets and Expenditures for all Programme Sectors

Programme Sectors/Outcome Areas	Budget under CPD (5-year period)	Expenditure as of Nov. 2018 (since 2016)	Expenditure as percentage of Budget
Economic Diversification	12,155,000	6,508,000	54%
Environment and Energy Efficiency	22,730,000	23,992,000	106%
Justice and Institutions	12,695,000	3,147,000	25%
Development Cooperation	13,190,000	7,670,000	58%
All programme	60,770,000	41,317,000	68%

For all the success of the CO in resource mobilization in this area, most E&E projects are quickly coming to an end. The CO will enter the new programme cycle with only a handful of E&E projects (certainly, more could materialize in the next two years). Of the 13 projects under the scope of this evaluation, only one (*EESL*) extends into 2021 and 2022.⁵¹ The CO has recently started two other major projects, which did not fall under the scope of this evaluation, that also extend beyond 2020 – “*Conservation and sustainable management of key globally important ecosystems for multiple benefits*” and “*De-risking Renewable Energy Investment*”. So, at this point in time there are only a few E&E projects that continue into the new programming cycle.

Looking forward, the key questions the CO faces are – How is the sector currently positioned and what types of activities and sources of funding will be available to sustain its activities in the coming years? Which types of activities and thematic areas the CO should engage with? Here the CO is running against a serious challenge. As an upper-middle income country, Kazakhstan is facing decreasing financing options from development donors. This, combined with fiercer competition among development partners for a smaller pool of funding, will present an increasing challenge to UNDP.

The CO’s best response to this situation is a two-pronged strategy that leverages its success and good standing in this area to further strengthen partnerships with traditional partners on the basis of competence, results and cost-effectiveness, and engages non-traditional sources of funding by presenting them with attractive options of cooperation. The CO management is acutely aware of this challenge and has elevated partnership development as one of its highest priority.⁵²

As part of its resource mobilization strategy, the CO is continuing to position itself as a partner of choice for GEF and is hoping to mobilize another significant tranche from the upcoming GEF 7 allocation. But GEF funding available for Kazakhstan is on a declining trend, so in the medium to the long-run GEF cannot be the only pillar of UNDP’s E&E programme.

⁵¹ *Sustainable Cities* Project might extend too into the new CPD period if it will need an extension.

⁵² A clear sense of this emerges from the review of internal documentation, such as the annual strategic notes.

Another traditional source of funding is the EU. UNDP has already implemented the *Green Economy* project that represents an important EU contribution to Kazakhstan. Although not a primary country of interest for the EU, Kazakhstan will continue to receive EU development assistance which for UNDP represents an important opportunity. The EU is going through a process of reforming its development assistance, which will be important for UNDP to understand. In this context, UNDP could launch a more organized process of exploration concerning all sectors.

Another source of funding that has been available to UNDP has been cost-sharing from the Government of Kazakhstan. The CO has established a cost sharing mechanism with the government on the basis of annual project proposals developed jointly with line ministries in key priority areas for the country, but the process has not been easy. The CO has also been trying to secure government support for its core expenses due to Kazakhstan's graduation to the Net Contributing Country (NCC) status, but it has been quite difficult to establish a 'pooled' programme fund. UNCT, led by UNDP, is working towards developing cost-sharing modalities at the sub-national-level. For the time being, it is not clear to what extent GoK will represent a stable and substantive source of funding for UNDP programming in the country. This will depend on many political and economic factors – and most importantly the evolution of the economic crisis triggered by the fall in the price of oil in 2014 and the resulting devaluation and budget cuts.

As far as non-traditional sources of funding are concerned, the CO has invested a lot of effort already across all programme areas, but particularly in the E&E sector. The CO has signed a financing agreement with the Islamic Development Bank (IsDB) amounting to US\$ 1.4 m in the area of rural water supply, as part of an overarching loan agreement signed by GoK with the IsDB in 2017. Through this agreement, UNDP will deliver technical assistance activities under the larger loan. Based on the successful implementation of the EU-funded project in the water sector, the activities under this agreement will aim at modernizing irrigation and water supply systems of South Kazakhstan and Almaty regions. The CO has also had negotiations with the World Bank (WB) to implement capacity development components of WB loans in the areas of agriculture and forestry. Another idea the CO has been exploring is the execution of soft components of European Investment Bank loans in the area of energy efficiency and climate change. Similar negotiations have taken place with the Asian Development Bank (on irrigation), Eurasian Development Bank (for the de-risking investments in the renewable energy sector project), and EBRD (on parallel financing of large capital infrastructure works within the Sustainable Cities project). The CO has also sought to reach out to the newly established Asian Infrastructure Investment Bank, where Kazakhstan owns a small share, to explore potential collaboration in the area of green industries' development.

The CO has also made serious efforts to unlock financing from the Global Climate Fund (GCF) for Kazakhstan. One of the projects in the E&E sector is exclusively dedicated to supporting Kazakhstan become a recipient of GCF funding. UNDP has supported the National Designated Authority on the preparation of a national readiness proposal and together with the EBRD has

supported the development of a national programme for engagement with the GCF. So far, success has been limited on this front, not least because of Kazakhstan's status as an upper middle income country. However, it still remains to be seen whether the country and UNDP will succeed.

Overall, UNDP efforts to identify and engage non-traditional donors are commendable and will hopefully deliver practical results. What is crucial here is to show to partners that UNDP is well-positioned to take care of capacity development components of loan agreements in a number of limited areas where UNDP has created significant depth, expertise and partnerships.

In terms of thematic areas, biodiversity and natural resource management (including land management and agriculture), energy efficiency and climate change, water management, and waste management are areas where UNDP is already well-established, by creating significant depth and emerging as a serious player in the country. Factors contributing to this success include early niche-positioning and good cooperation with authorities at the national and sub-national level. These are likely to remain important areas of work, subject to availability of funds.

UNDP is well advised to build on the foundations it has laid and seek to create more depth and expertise in these areas, as the sector might not have the capacity to manage additional areas. One more area where it could expand if there funding available (given the opportunistic nature of UNDP's funding driven by the lack of its own resources) is the area of DRR. Given their cross-cutting nature, DRR activities could be integrated into some of the thematic areas mentioned above.

As for cross-cutting activities in the E&E sector, there is one area where the unit should engage more actively. This is the area of Sustainable Development Goals (SDGs). The SDG process presents a unique opportunity for integrating environmental concerns into policy frameworks – which is a large part of what the sector is trying to do. As of now, SDG-related activities have focused on awareness and have been driven primarily by the United Nations Country Team (UNCT).⁵³ The role of the E&E sector in SDG activities has been rather limited. Potential work the E&E sector could engage in includes the incorporation of SDGs in strategic documents and policies, establishing national targets and baselines to measure progress, defining the distribution of responsibilities among the levels of government, establishing data and monitoring systems that support SDGs, and assisting with environmental reporting nationally and internationally. Overall, UNDP is well positioned to support through the SDG process the mainstreaming of the environmental concerns into the country's legal and policy framework and assist the government in gradually exploring the concept of Green Economy (e.g. through multi-stakeholder fora, screening of public expenditure from an environmental perspective, green accounting, etc.).⁵⁴ The

⁵³ The RC/RR is leading the process of supporting the office of Prime Minister in developing a formal coordination structure/body for the SDGs – a key recommendation of the MAPS mission.

⁵⁴ As another example, GEF-funded projects have an emphasis on energy and environment related indicators. But UNDP, given its human development mandate, can and should include social ones (e.g. related to access to and affordability of the services for the poor, as well job creation) to capture social and human development aspects through project level indicators. This practice should be applied across all the projects in the portfolio.

E&E sector, together with the rest of UNDP and UNCT, should provide more integrated supports to the SDGs adaptation and implementation, based on the MAPs findings.

Also, as already discussed in this report, UNDP can create further depth at the local level and be a quite competitive player, especially if it will be able to further integrate and consolidate its local-level activities across sectors. UNDP's long-running programmes on area-based development have enabled it to accumulate knowledge of local development issues and forge strong partnerships with local governments and communities. Decades of work at the local level have given UNDP greater visibility and acceptance among ordinary people and local decision makers.

5.3. CROSS-CUTTING ISSUES

Gender

Evidence collected in the course of this evaluation has indicated the E&E programme has improved its gender focus, taking into consideration the specific needs of women. Most projects are designed to have specific measures to address gender inequalities and promote the involvement of women in their activities. At implementation, gender equality was applied to ensure that legal and policy frameworks were gender-sensitive and the development strategies took consideration of gender equality in terms of analysis, priorities and gender-sensitive indicators. With regards to the pilots and infrastructure projects, vulnerable groups and women, particularly in rural areas, have been targeted through direct interventions such as energy efficiency retrofits, installation of solar panels to diversify access to energy, irrigation schemes, etc., based on criteria which prioritize vulnerable communities and female-headed households. It is pertinent to also mention that women in some of the UNDP interventions women largely appear as agents of change and not as passive recipients of assistance. They are entrepreneurs, producers, innovators and managers. Their managing of small grants and participation in EXPO 2017 were positive examples of their strengths as innovators and 'green' entrepreneurs.

The CO has also worked at the advocacy level to improve the gender perspective in environmental and energy policy. A range of activities have been recently undertaken to achieve this. For example, in the framework of the World Petroleum Council meeting of 2018 held in Astana, UNDP organized a side-event on the promotion of gender policy in the energy sector. In a recent Green Energy & Waste Recycling Forum, UNDP advocated for a gender lens to the management of chemical substances and dangerous waste. Also, in 2018 the CO organized a seminar on intersection of gender and biodiversity. These are unique contributions in a field which is typically quite disconnected from the gender dimension. This is one of the areas in which UNDP has increased its assistance for the government in complying with Convention on the Elimination of all Forms of Discrimination Against Women (CEDAW) and implementing the recommendations of the UN Committee's Concluding Comments to Kazakhstan's Report on CEDAW. In light of the intensification of work in this area, UNDP has submitted its application for the Gender Seal

certification process in 2018.⁵⁵ Areas where the CO should invest further efforts are on strengthening gender reporting to better reflect UNDP's contribution to gender equality and women's empowerment at both the programme and project levels. Gender statistics remains an area of weakness. Although the CPD explicitly refers to gender equality, it does not set any gender-disaggregated indicators and targets. Also, most of the project documents reviewed for this evaluation do not have gender-specific targets even when their activities are sufficiently oriented towards gender equality. This has already been pointed out in a number of project evaluations.⁵⁶

Human Rights Approach

Overall, the current E&E programme follow a human rights approach by targeting most vulnerable groups and regions and addressing the rights of women, people with disabilities, etc. The following is a brief summary of the main dimensions.

- Through the ensemble of its activities, the programme has contributed overall to the basic right to a safe, healthy and ecologically-balanced environment (i.e. clean air, clean water, safety and protection from floods, resilient livelihoods through adaptation, etc.).
- It has promoted participatory transparent processes not only in project activities, but also within the government. The programme has made the government more open, transparent and accountable to the public.
- By supporting Kazakhstan's reporting, especially at the international level, the programme has contributed to information sharing, transparency and accountability.
- Through the infrastructure projects, the programme has contributed to job creation, poverty reduction and reduced vulnerabilities, which are crucial aspects of human rights.

⁵⁵ The Gender Equality Seal incentivizes UNDP Country Offices to integrate gender equality into all aspects of their development work. Upon completing a range of specific standards, participating UNDP Country Offices can achieve either a Gold, Silver or Bronze level certification. By engaging with the Seal, UNDP Country Offices are better positioned to support government partners and accelerate progress towards achievement of the Sustainable Development Goals. (taken from <http://www.undp.org/content/undp/en/home/gender-equality/transforming-workplaces-to-advance-gender-equality/gender-equality-seal-for-undp.html>)

⁵⁶ The EEL Project evaluation noted that in the design of the project "there is a lack of information broken down by gender—both quantitative data and qualitative information although the development challenge of increasing GHG emissions from lighting have gender-related dimensions."

CONCLUSIONS

This outcome evaluation covers 13 out of 24 projects UNDP Kazakhstan has been implementing under Outcome 2 of its CPD that corresponds to the environment and energy efficiency sector. UNDP's E&E portfolio consists of four main thematic pillars – i) *Energy Efficiency and Climate Change*, ii) *Biodiversity and Natural Resource Management*, iii) *Chemicals and Waste Management*, and; iv) *Water Management*. There are certainly other aspects that are addressed by the E&E projects – such as land management, transport, disaster risk reduction, etc. – but these are usually smaller aspects that are embedded into the main themes listed above. The E&E programme constitutes the largest sector in the country programme and has grown significantly recently. This is a sector largely relying on the Global Environment Facility (GEF) for funding. Other donors are the EU and the Government of Kazakhstan.

Strengths

- In the E&E area, UNDP has established itself as one of the leading development partners in Kazakhstan and has developed good relations with a range of national players, including all levels of government. The CO management and SDU unit have achieved this by being committed, persistent, well-organized and professional and by engaging government, non-government and development partners effectively in all stages of the project cycle.
- UNDP has created significant depth in the areas of biodiversity and natural resources, climate change and energy efficiency and has built a good track record in the area of waste and water management. Overall, the E&E programme has been largely relevant to Kazakhstan's needs and priorities, its international commitments and agreements and the UN and UNDP country mandates and strategies.
- In the areas of biodiversity and natural resource management, energy efficiency and climate change, chemicals and waste management, water management the CO has provided important contributions which are discussed in some level of detail in section 4.2.2. of this report.
- The portfolio approach to managing the projects appears to have been quite effective, allowing the unit to create economies of scale and maintain project managers and staff when individual projects close down. This has provided a good solution to the perennial challenge of short project timeframes faced by most UNDP COs.
- The sector has forged good cooperation and synergies between projects being currently implemented under the E&E sector. Further, ongoing activities build on foundations laid by previous interventions, which facilitates the preservation of institutional memory and best practices. This is particularly the case in the areas of biodiversity and energy efficiency where UNDP has had a long involvement in the country.
- The E&E programme has improved its gender focus, taking into consideration the specific needs of women. Most projects are designed to have specific measures to address gender inequalities and promote the involvement of women in their activities. The CO has also

worked at the advocacy level to improve the gender perspective in environmental and energy policy.

Further Improvements

- As noted in section 4.2.1., the CPD's RRF is vague and not helpful in providing a good overview of what the CO has been achieving in the area of E&E. It is totally understandable that the CPD has to remain general to some extent because it is impossible to tell what projects will materialize in the course of programme implementation. However, it is important that the CO stays on top of achievements by tracking carefully and on an ongoing basis a range of indicators at the programme and project levels. Also, the CO should strengthen quality criteria for the development of project RRFs and project evaluations and the way it manages the learning that is derived from the evaluation process.
- Synergies between projects are less solid outside the cluster than within. There is significant potential for stronger cooperation and synergies between the **E&E** and **Diversification** projects, especially at the sub-national (local/regional) level. "**Diversification**" activities at the local level provide the **E&E** sector with a platform on which to embed a range of initiatives.
- With regards to sustainability, many interventions have provided important contributions to the institutionalization of initiatives and financing, which are crucial for the long-run operation of the systems that UNDP projects typically develop. More focus, though, could be paid to the challenge of policy implementation which remains a serious weakness in Kazakhstan's public administration.
- The amount of co-financing committed by the government and other partners has been significant, which is a strong indication of commitment and ownership by national partners, but the sector team needs to follow through and ensure that those commitments materialize.
- Awareness raising activities could become more sustainable if conducted with the objective of behavioral change in mind and if underpinned by a more explicit strategy reflecting the importance of social norms.

Looking Forward

- The biggest challenge facing the CO in the area of E&E is mobilization of funding. The sector currently rests on one pillar – GEF. For all the success of the CO in resource mobilization in this area, most E&E projects are quickly coming to an end. The CO will enter the new programme cycle with only a handful of E&E projects
- The CO's best response to this situation should be a two-pronged strategy that: i) leverages its success and good standing in this area to further strengthen partnerships with traditional partners on the basis of competence, results and cost-effectiveness; and, ii) engages non-traditional sources of funding by presenting them with attractive options of cooperation. The CO management is acutely aware of this challenge and has elevated partnership development as one of its highest priority.

- As part of its resource mobilization strategy, the CO is continuing to position itself as a partner of choice for GEF and is hoping to mobilize another significant tranche from the upcoming GEF 7 allocation. But GEF funding available for Kazakhstan is on a declining trend, so in the medium to the long-run GEF cannot be the only pillar of UNDP's E&E programme.
- Another source of funding that has been available to UNDP has been cost-sharing from the Government of Kazakhstan. The CO has established a cost sharing mechanism with the government on the basis of annual project proposals developed jointly with line ministries in key priority areas for the country, but the process has not been easy. For the time being, it is not clear to what extent GoK will represent a stable and substantive source of funding for UNDP programming in the country.
- As far as non-traditional sources of funding are concerned, the CO has invested a lot of effort already across all programme areas, but particularly in the E&E sector. The CO has been actively negotiating with the Islamic Development Bank (IsDB), World Bank, Asian Development Bank, EBRD, Asian Infrastructure Investment Bank, and other international financial institutions. The CO has also made serious efforts to unlock financing from the Global Climate Fund (GCF) for Kazakhstan. Overall, UNDP efforts to identify and engage non-traditional donors are commendable and will hopefully deliver practical results. What is crucial here is to show to partners that UNDP is well-positioned to take care of capacity development components of loan agreements in a number of limited areas where UNDP has created significant depth, expertise and partnerships.
- The areas of biodiversity and natural resource management (including land management and agriculture), energy efficiency and climate change, water management, and waste management are likely to remain important areas of work, subject to availability of funds. UNDP is well advised to build on the foundations it has laid and seek to create more depth and expertise in these areas. One more area where it could expand if there funding available is the area of DRR. Given their crosscutting nature, DRR activities could be integrated into some of the thematic areas mentioned above.
- The sector team should also take a closer look at the role it is playing in the area of SDGs and see how the SDGs could become a more prominent part of the sector's work.
- UNDP could also intensify its engagement at the sub-national level and make it more efficient by trying further integrate and consolidate its activities at that level, especially between the *E&E* and *Diversification* activities.

There are many lessons that can be drawn from the experience of E&E sector reviewed in this report, but the following are worth highlighting:

- One important lesson that can be drawn from the experience of UNDP Kazakhstan is that as the country gets richer and edges closer to the high-income status, it becomes more and more difficult for UNDP to attract donor funds. In such conditions, UNDP has to rely more on the national government for funding. For the government to be willing to allocate a slice

of its budget to the UNDP, there has to be something that is quite attractive in what UNDP offers. This leads us to the issue of UNDP's competitiveness and quality of service. To stay relevant in high-income countries, UNDP has to upgrade the quality of services it provides and be able to compete with high-profile private sector consulting firms. This requires a lot of investment in the human resource, as well as good management of the office. Furthermore, UNDP has to look for innovative ways of doing business in the country, which includes partnerships with IFIs which provide large loans to the country. This is something the Kazakh CO is exploring quite actively and which in the future might become one of the foundations of UNDP operations in the country. Right now the CO seems to be on the brink of a transition to a different way of funding its operations. Learning from the experience of UNDP CO that have been through this transition (i.e. Poland, Romania, Latvia, Estonia, etc.) might be useful.

- Another lesson can be drawn around the use of market-based mechanisms for investments in infrastructure. After cycles of experience and experimenting with energy efficiency projects, UNDP Kazakhstan has realized that the best way to invest in infrastructure projects, especially in the area of energy efficiency where it has a lot of experience, but not only, is by using the market mechanism – the provision of loans guided by market criteria, rather than grants. The strong focus of the current E&E programme on establishing sustainable financing mechanisms is critical because it leads to solutions that have a chance of withstanding the test of time, long after the UNDP project is over. Establishing financing mechanisms based on the banking system or financial institutions guarantees investment stability and longevity. This is something that the Kazakhstan CO should further consolidate and other COs can learn from.

RECOMMENDATIONS

This chapter provides six major recommendations based on the analysis presented in this report.

1. Results-Based Management at the Sectoral Level

In preparation for the development of the new CPD, the CO should strengthen the RBM system at the programme and project level.

- While it is hard to develop an RRF at the CPD level that will stay realistic and useful till the end of the programme cycle (given the uncertainty of programme funding), it is important for the CO to strengthen the system through which it tracks programme and project results on an ongoing basis. Information on some basic indicators that are driven by the nature of projects undertaken by the CO should be quickly available at any time and should be used by the CO management and sector teams to monitor and manage activities.
- The CO should strengthen the quality criteria for the development of project documents. This is an area where there is high predictability and having a well-structured project RRF is essential for the monitoring and management of project activities.
- The sector will also benefit from the development of a Theory of Change that connects all the specific pieces (projects). This is not just a theoretical exercise, but has practical value in that it will provide the team with insights into how these individual projects could be tied more effectively together.
- Also, the CO should strengthen quality criteria for evaluations and the way it manages the learning that is derived from them. The CO should develop minimum quality criteria for project evaluations and should establish a tracking system to closely monitor their quality.

2. Positioning and Resource Mobilization

In terms of positioning, the CO should continue to consolidate its position in the areas of biodiversity and natural resources, climate change and energy efficiency, and waste and water management. These are areas where UNDP Kazakhstan has already positioned itself well and is quite competitive. The DRR sector could offer opportunities for further work, if funding will be available. Furthermore, one cross-cutting issue with which the sector should be engaged more actively is the Sustainable Development Goals. Work on the SDGs should be coordinated closely between the sectors, but the E&E sector can play a much bigger role. Potential work the E&E sector could engage in includes the incorporation of SDGs in strategic documents and policies, establishing national targets and baselines to measure progress, supporting the distribution of responsibilities among government institutions, establishing data and monitoring systems that support SDGs, and assisting with reporting nationally and internationally. Overall, the E&E sector is well positioned to support through the SDG process the mainstreaming of the environmental concerns into the country's legal and policy framework and assist the government in further implementing the concept of Green Economy.

The highest priority for the CO in the area of E&E now is the mobilization of funding. Ongoing efforts with traditional donors which as GEF and the EU should continue, although the amount of financing expected from these sources will continue to decline. With regards to the EU, the CO should undertake a more systematic assessment and identification of opportunities by researching what the EU is planning for Kazakhstan. In this context, the CO could launch a more organized process of exploration concerning all sectors and involving UNDP's representation in Brussels and New York. As far as non-traditional donors are concerned, UNDP should continue its current efforts at identifying new modes of engagement. The IFIs, in particular, present good potential which the CO should explore by developing innovative mechanisms – such as the management of technical assistance components in the framework of loan agreements.

3. Programme Integration

The CO should strengthen integration between sectors by establishing integrated frameworks for project planning and implementation. ***Governance*** and ***diversification*** activities, especially at the sub-national level, provide the ***E&E*** sector with a platform on which to embed environmental and energy efficiency initiatives. In the upcoming CPD, the CO could consider merging ***E&E*** and ***diversification*** activities, given their complementary nature (depending on whether diversification activities will be active by that time). The CO should also explore the feasibility of integrated work plans elaborated at the regional/local level and matched with the CO's plan at the national level. Such an area-based approach will enable UNDP to weave more effectively cross-cutting issues (such as energy efficiency, citizen engagement, transparency and accountability, gender equality) into other thematic activities (i.e. community development, service delivery, etc.). Stronger synergies may also be forged with international organizations at the sub-national level, which may also provide increased funding opportunities. UNDP can also support local authorities to facilitate more effectively donor coordination at the sub-national level. A crucial step in achieving a higher level of programme integration and consolidation at that level could be the development of a clearer strategy for how UNDP should structure itself and operate at the sub-national level.

4. Policy implementation

The CO should further strengthen its focus on implementation, by thinking beyond just the passing of laws and strategies, and considering measures that consolidate organizational structures that will implement those laws and strategies. This includes actions like the creation of organizational structures, staffing organizations and allocating funding for their operations, training management and staff to implement policies, etc. The sector team has already been doing a lot of this, but the point here is to promote a mentality shift in the programme and within the government away from “form” (how a piece of law looks like) to functionality (how a law is implemented and what effects it produces). From this perspective, it is important that the team consider how the capability of government organizations is built and changes. For this, the CO should develop RBM systems that track implementation parameters linked to functionality and outcomes rather than form and inputs/outputs and assess more rigorously the sustainability of achievements. Project documents

should contain clear criteria related to performance based on a strategy for achieving and demonstrating results. Achieving this focus on functionality and outcomes is difficult when considering the short timeframes of UNDP projects, but it is not impossible. What is important is the mentality shift which implies that UNDP staff start designing and implementing projects with these *implementation* considerations in mind.

5. Co-financing

The CO has had good results when it comes to co-financing. For projects that involve infrastructure investments it is essential to keep pushing for stronger competitive/market mechanisms to ensure the sustainability and scale of initiatives. Overall, the recommendation here is to stay on the same path and not backtrack, because market-based solutions to infrastructure problems are essential for their sustainability. Instead of providing grants, UNDP should keep strengthening incentives that promote access to international financial institutions and banks for finance.

6. Awareness Raising

In the area of awareness raising and information sharing, the CO should reassess its approaches, methods and results more strategically. This is an area where there have been significant shifts in research and practice recently and it is time for UNDP to upgrade its approach. First, the CP should recognize that information sharing and awareness raising are done for a simple reason – to change behavior. So, when designing information campaigns and events, it is important to ask what behavior and whose behavior the programme or project is seeking to change. This requires careful thinking about the behavior the programme/project seeks to promote and the agents whose behavior it wants to change. As a next step, it is also important to understand what type of information and what channel of information has the potential to change the identified behavior in the target group. The way the information is packaged matters a lot, but who carries the information and how that person is perceived by the target group matters even more. In this sense, it is important to understand whose opinion matters for the target group and how that opinion can be constructed and used to influence behavior. It is also important to recognize that individuals operate in a social environment and that human behavior is largely influenced by social norms set by the community in which an individual is embedded. So, to change an individual's behavior, it is important to understand the prevailing social norms in his/her community and the factors that shape those social norms. This is something that the CO could examine a bit more closely in the context of the development of the new CPD and new projects.

ANNEX I: LIST OF STAKEHOLDERS MET FOR THE EVALUATION

<i>Agenda and topics for discussion</i>	Time	Venue	Participants	Focal Point	Partners contacts
October 22 Meetings with UNDP and National Directors					
Briefing with UNDP	10.00-11.00	UNDP Office	Irina Goryunova, ARR, Ramazan Zhampiissov, Head of SDU Unit, Victoria Baigazina, Programme Associate, SDU Aliya Akhmetova, Programme Assistant, SDU Zhanetta Babasheva, Resource Monitoring Associate	Zhanetta Babasheva	
Meeting with UNDP DRR	11.00-11.20	UNDP DRR Office	Vitalie Vremis, DRR, Irina Goryunova, ARR, Ramazan Zhampiissov, Head of SDU Unit, Zhanetta Babasheva, Resource Monitoring Associate	Zhanetta Babasheva	
Meeting with SDU projects	11.30-13.00	UNDP Office, 2 nd floor	SDU unit + projects' managers	Aliya Akhmetova	
Lunch	13.00-14.00				
BD projects	14.00-14.30	UNDP Office, 2 nd floor	Talgat Kerteshev		
Committee of forestry and wildlife, MoA	14.30-15.00	UNDP office	Kairat Ustemirov, Deputy Chairman (BD projects portfolio National Director) BD projects portfolio manager (Talgat Kerteshev)	Talgat Kerteshev	
Committee of Water Resources of the Ministry	15.00-16.00	UNDP office	Erdos Kulzhanbekov/ Head of the department of water reclamation and government programmes	Gulzhamal Issayeva	

of Agriculture of the Republic of Kazakhstan			implementation (National Director of the Transition to a Green Economy project)		
Waste management	16.30-17.30	UNDP office	Nina Gor	Aliya Akhmetova	
Meeting with NAMA, Housing project	17.30-18.00	UNDP office	Alexandr Belyi	Aliya Akhmetova	
October 23 Meetings with Projects' National Directors					
Ministry of Energy - Renewable Energy department - Climate change department - Waste management department	9.30-10.00	House of ministries, entrance #14	Ainur Sospanova. Head of the RE department (Green bridge project)	Aliya Akhmetova	
	10:10-10:30				
	10.40-11.10		Olzhas Agabekov, Head of Climate Change department (7NC National Director)		
	11.20-11.40		Gulshera Atemova, a.i. Head of waste management department (National director medwaste, Minamata projects)		
Zhasyl Damu	12.00-13.00	UNDP Office, 2 nd floor	Zhanar Assanova (medwaste)	Nina Gor	
Lunch	13.00-14.00				
Agroincentive	14.00-14.30	UNDP Office, 2 nd floor	Yerlan Zhumabayev		
Ministry of investment and development	14.30-15.30	UNDP office	Zhaksylyk Tokayev, Head of Department of energy efficiency and energy saving (National Director of the: NAMA, Lighting, Labelling projects) Alexandr Belyi, Syrym Nurgaliyev, Projects' Managers	Alexandr Belyi	
	15.40-16.40		Margulan Abdykarimov, Deputy director of department for construction and housing infrastructure development		

			(Nationa Director of housing project) Alexandr Belyi		
17:00 Ainur Sospanova. Head of the RE department (Green bridge project)					
18:00 Zhanetta Babusheva					
October 24 Field visit					
Departure to Kyzylorda	Early morning flight at 7.35			Aliya Akhmetova	
Chu-Talas Water River Basin	14.00-14.30	telecon	Indira Akbozova, Secretary (CC and DRR Portfolio - Chu-Talas project)	Ruslan Syzdykov	Indira Akbozova 87770855851
NGO "Children's and Teen Club" Musheltoy"	14.30-15.00	telecon	Dania Kydyrbayeva, Head (CC and DRR Portfolio - Catalytic Fund project)		Dania Kydyrbayeva 87017204721
Pilot project of the energy efficiency projects_11 school	12.00-13.00	11 school	NAMA, Lighting, SGP		
Lunch	13.00-14.00				
Visiting project site_Oasis irrigation in Manak-baba farm	14.00-16.00	Tan village	138 km from KZO, Transition to green economy project pilot site		
Visiting project site_Demonstration of a new model of transhumance livestock and feed production using green technologies	16.00-17.40	Syrdarya region	108 km., Desert project site		
Departure to Kyzylorda	17.40-19.00				

Overnight in Kyzylorda					
October 25 Field visit					
Visiting project site_ Development of sustainable and efficient commercial fish farming in the Kyzylorda oblast using elements of a "green" economy "	09.00-11.30	Nortai Bekezhanov village	150 km., Desert project site	Ruslan Syzdykov	
Departure to Kyzylorda	11.30-13.00				
Lunch	13.00-14.00				
Visit Demonstration plots in Rice Research Institute (Crop diversification, Irrigation water measurement tools and technologies).	10.00-11.30	Rice Research Institute	CC and DRR Projects (Agro-Incentive)	Ruslan Syzdykov	Zhanuzak Baimanov 87017363283
Departure to Astana	Evening flight at 17.30			Aliya Akhmetova	
October 26 Meetings with project partners (CSO, NGO,etc)					
Centre of Green Technologies Astana	9.30-10.30	UNDP Office	Tatyana Nemtsan, co-founder (Lighting, Labelling, transition to green economy, NAMA)	Syrym Nurgaliev	
«Institute of Electricity development and Energy Saving (Kazakhenergoexpertise) » JSC Astana	11.00-11.45	TBC	Olzhas Alibekov, Deputy Director (Lighting, Labelling), Syrym Nurgaliyev, project manager		

DAMU skype	12.00-13.00	UNDP office	Daulet Abylkairov, Deputy Chairman	Alexandr Belyi (NAMA)	
Lunch	13.00-14.00				
Ministry of agriculture	14.00-14.30	UNDP office	Aidos Mukashbekov (Agroincentives National Director)	Yerlan Zhumabaev	Aidos Mukashbekov 87081612999
PB of Energy efficiency	14.30-15.30	UNDP office	Yeldos Abakanov, Director Общественная палата энергоэффективности	Talgat Kerteshev	
Wrap-up meeting with UNDP team	16.30-17.00	UNDP Office	Irina Goryunova, ARR, Ramazan Zhmpissov, Head of SDU Unit, Victoria Baigazina, Programme Associate, SDU Aliya Akhmetova, Programme Assistant, SDU Zhanetta Babasheva, Resource Monitoring Associate	Zhanetta Babasheva	
Debriefing meeting with DRR	15.00-15.30	UNDP Office	Vitalie Vremis, DRR, Irina Goryunova, ARR, Ramazan Zhmpissov, Head of SDU Unit, Zhanetta Babasheva, Resource Monitoring Associate	Zhanetta Babasheva	
NGO «Zhasyl Azyk»	17.00-17.30	telecon	Bakhtiyar Sadyk, Head (CC and DRR Portfolio-Agro-Incentive project)	Yerlan Zhumabaev	Bakhtiyar Sadyk 87771160091

ANNEX II: TERMS OF REFERENCE OF THE ASSIGNMENT



UNITED NATIONS DEVELOPMENT PROGRAMME

Terms of Reference

International Consultant for Country Programme Document Outcome Evaluation

“Ecosystems and natural resources are protected, and sustainably used, and human settlements are resilient to natural and man-made disasters and climate change”.

Job Code Title:	CPD Outcome Evaluation Consultant
Duty station:	Home-based with a mission to Kazakhstan, Astana (5 days)
Duration:	Up to 25 working days within the period of August – October 2018 (one field mission to Kazakhstan)
Type of contract:	Individual Contract (IC)
Language required:	English, Russian is an asset

1. BACKGROUND

The government's commitment to mainstreaming the green economy agenda into national development is reflected in the adoption of a Green Economy Concept in May 2013 in response to the 2012 Rio+20 'Earth Summit', the subsequent launching of a Green Bridge initiative and the planned establishment of the Green Technology Center at the EXPO site in 2017. Still, important questions remain on the integrated and sustainable management of the environment.

Kazakhstan suffers from serious legacy effects on the environment dating back to the former Soviet Union, including pollution and contamination associated with industrial waste from the hydrocarbon sector, overuse of pesticides in agriculture, and radioactive contamination of soil stemming from 456 nuclear tests conducted at Semipalatinsk from 1949 through 1989.

According to the IEA (International Energy Agency) Report, CO₂ outlook (2015), Energy sector of Kazakhstan is the 25th largest emitter of greenhouse gases in the world. CO₂ emissions per capita continue to rise, with fuel combustion accounting for 82.04 per cent of total emissions (National GHG Inventory Report, 2015). The current policy environment, notably the lack of post-tax carbon prices that reflect the full social and environmental costs of producing and burning fossil fuels (and a similar gap in pricing water) poses an important obstacle to environmental sustainability and more efficient use of natural resources. As a result, energy efficiency is 2.4 times below the world average.

FAO estimates the total area of degraded lands in Kazakhstan to encompass roughly three quarters of the country, it is about 180 mln. hectares of the lands. A significant share of the population of about 46% is living on such land (UNDP & GEF, Economy of Degraded Lands in Kazakhstan, 2015). The main zones of ecological stress and land degradation are in the Aral and Caspian regions in western parts and the abandoned cereal growing areas in the northern region of the country. The Aral Sea was once the world's fourth largest inland water body, but it has in recent decades shrunk to less than one-third of its former size and broke into the Large and Small Aral Seas, with the latter located within Kazakhstan.

Kazakhstan has recently made progress in developing its institutional framework for sustainable development. The concept of Green Economy enjoys substantial political support, with the President

leading the Green Economy Council. The government is keenly promoting several flagship policy areas, notably increasing renewable energy supply, improving water efficiency and reducing greenhouse gas emissions.

UNDP Kazakhstan's contribution in the field of environment and energy efficiency is provided through Country Programme Outcome 1.3 "Ecosystems and natural resources are protected and sustainably used, and human settlements are resilient to natural and human-induced disasters and climate change". The proposed evaluation will assess the country programme outcome in this practice area and related outputs.

2. EVALUATION PURPOSE

UNDP in Kazakhstan aims to evaluate its contribution during CPD 2016-2020 cycle to the achievement of the Outcome on "*Ecosystems and natural resources are protected, and sustainably used, and human settlements are resilient to natural and man-made disasters and climate change*" and take stock of previous efforts and lessons learnt. An outcome evaluation assesses how and why an outcome is or is not being achieved in Kazakhstan's context and the role UNDP has played. It is also intended to clarify underlying factors affecting the development situation, identify unintended consequences (positive and negative), generate lessons learned and recommend actions to improve performance in future programming and partnership development. Outcome evaluation also should be able to answer whether UNDP supported the Government of Kazakhstan in meeting the National Strategy of Kazakhstan 2050 and the Sustainable Development Goals. The outcome evaluation will be conducted in 2018 with a view to contributing to the preparation of the new UNDP country programme starting from 2021.

The overall purpose of the outcome evaluation will be to assess how UNDP's programme results contributed, together with the assistance of partners, to a change in development conditions. The purpose of the proposed evaluation is to measure UNDP's contribution to the outcome outlined above with a view to fine-tune the current UNDP programme, providing the most optimal portfolio balance and structure for the rest of the CPD 2016-2020 as well as informing the next programming cycle.

3. EVALUATION SCOPE AND OBJECTIVES

The evaluation will cover UNDP CPD Outcomes 1.3 under current UN PFD in Kazakhstan for 2016-2020. This outcome evaluation will assess progress towards the outcome, the factors affecting the outcome, key UNDP contributions to outcomes and assess the partnership strategy. The evaluation will also assess the portfolio alignment and its relevance to the UN PFD in Kazakhstan for 2016-2020.

Information from UNDP Kazakhstan CPD 2016-2020 on the Outcome:

UNDAF (OR EQUIVALENT) OUTCOME INVOLVING UNDP 1: Outcome 1.3: Ecosystems and natural resources are protected and sustainably used, and human settlements are resilient to natural and man-made disasters and climate change.				
RELATED STRATEGIC PLAN OUTCOME: 1				
UNDAF OUTCOME INDICATOR(S), BASELINES, TARGET(S)	DATA SOURCE AND FREQUENCY OF DATA COLLECTION, AND RESPONSIBILITIES	INDICATIVE COUNTRY PROGRAMME OUTPUTS (including indicators, baselines targets)	MAJOR PARTNERS / PARTNERSHIPS FRAMEWORKS	INDICATIVE RESOURCE S BY OUTCOME (US\$)
Indicator: Number of settlements and cities that have implemented resilience building measures as per international recommendations	Disaggregated data is not yet available on sustainable cities/sustainable urbanization. UNDP with partners plans to collect comprehensive data on greening/sustainable urban	Output 1. Selected settlements have adopted integrated models for sustainable growth Indicator 1.1 Number of new jobs/ livelihoods created through management of natural	Ministry for National Economy Ministry for Agriculture Ministry for Investment and Development	Regular: 50,000
				Other: 6,000,000

<p>Baseline: None Target: 20 settlements/cities</p> <p>Indicator: Number of key sectors, including public sector that have adopted greening/climate adaptation practices. Baseline: 2 Target: 5</p>	<p>planning across select municipalities.</p> <p>Municipal data on waste management</p> <p>Data on adoption of energy efficiency technologies in select cities: Municipal data</p> <p>Frequency: yearly data collection.</p>	<p>resources, ecosystems services, chemicals and waste, sex-disaggregated Baseline: 20 Target: 80</p> <p>Indicator 1.2 Number of settlements implementing integrated models for sustainable and resilient settlements Baseline: 1. Target: 15.</p> <p>Indicator 1.3: number of innovative methods for communal and hazardous waste management adapted by private sector and communities Baseline: communal – 1; hazardous - 1. Target: communal – 3; hazardous – 2.</p> <p>Indicator 1.5 Number of new development partnerships with funding for improved energy efficiency, and sustainable energy solutions targeting underserved communities Baseline: 4 partnerships in key sectors Target: 20 Baseline: 5 regional solutions Target: 30 regional solutions</p>	<p>Ministry for Energy</p> <p>Committee on Water Resources</p> <p>Committee on Forestry and Wildlife</p> <p>Committee on Construction, Communal Housing and Land Resources</p> <p>National Committee of Statistics</p>	
<p>Indicator: Percentage of national and regional development plans that incorporate gender-responsive economic, social and health aspects of disaster and climate risks. Baseline: 10% Target: 50%</p> <p>Indicator: Percentage of protected areas and adjacent territories and ecosystems managed sustainably. Baseline: 8% Target: 20%</p>	<p>Data on disaster risk reduction is not comprehensive at both national and local levels. UNDP, with national and local partners, and organizations such as the United Nations Organization for the Coordination of Humanitarian Affairs (OCHA) and the United Nations International Strategy for Disaster Reduction (ISDR) will work to strengthen data collection, monitoring systems.</p> <p>Frequency: quarterly/yearly data collection.</p> <p>Data to a large extent is not systematized and not gender disaggregated. UNDP, with local communities, large NGOs and regional and local <i>akimats</i>, will work to strengthen data collection, monitoring systems. Sources: Ministry of Agriculture data; World Overview of Conservation Approaches and Technologies database Frequency of data collection:</p>	<p>Output 2. Mechanisms in place to assess natural and human-induced risks at national and sub-national levels</p> <p>Indicator 2.1 Number of plans that are informed by multi-hazard national and sub-national disaster and climate risk assessments, considering differentiated impacts on women and men Baseline: 1 Target: 5</p> <p>Indicator 2.2: Availability of standard damage and loss accounting methodology Baseline: none in place Target: one standard system piloted</p> <p>Output 3. Natural resources are protected, accounted for and integrated in national and/or sub-national development planning</p> <p>Indicator 3.1. Number of sector-specific payment schemes for ecosystem services introduced and piloted Baseline: none Target: 1 viable scheme piloted</p> <p>Indicator 3.2 Number of sustainable land management practices introduced. Baseline: 12 Targets: 20</p>	<p>Regional <i>akimats</i> and <i>akimats</i> of <i>rayons</i> Ministry for Agriculture</p> <p>NGOs</p> <p>Rural and peri-urban communities</p>	<p>Regular: 60,000 Other: 5,500,000</p> <p>Regular: 50,000 Other: 7,500,000</p>

	yearly.	Indicator 3.3: Number of water basins sustainably managed, and watersheds rehabilitated at national/regional levels Baseline: 1 basin (Ili-Balkhash) Target: 3 (Ural, Kigach, Chu-Talas) Baseline: ~5% of watersheds (Eastern, Southern and Western Kazakhstan) Target: ~20%		
	Impact of climate change on protected areas are not analyzed. UNDP, with local communities, large NGOs and regional and local <i>akimats</i> , will work to strengthen data collection and monitoring systems. Frequency of data collection: yearly.	Output 4. National and sub-national institutions have strengthened capacities in environmental governance in protected territories and adjacent settlements Indicator 4.1: Number of national and subnational institutions that actively apply environmental governance practices (climate change, water management, sustainable agriculture) Baseline: 5 Target: 20 Indicator 4.2. Number of local governments benefiting from improved territorial planning and cooperation, and conflict prevention practices. Baseline: 5 Target: 10	Regional Akimats and akimats of rayons Ministry for Agriculture Large NGOs Rural and peri-urban communities	Regular: 70,000 Other: 3,500,000

Projects implemented during the period 2016 – 2018 to be evaluated within the CPD Outcome “Ecosystems and natural resources are protected, and sustainably used, and human settlements are resilient to natural and man-made disasters and climate change”.

There are 13 projects contributed to the achievement of the Outcome in the following environmental areas:

Area of natural resources management:

- Improving sustainability of the PA system in desert ecosystems through promotion of biodiversity-compatible livelihoods in and around PAs (2013-2017)
- FSP Improvement of the decision-making process in Kazakhstan through introduction of mechanisms of economic assessment of fulfilling national obligations under global environmental agreements (2014-2017)
- Supporting Kazakhstan's transition to a "Green Economy" model" (2015-2018)
- Supporting sustainable land management in steppe and semi-arid zones through integrated territorial planning and agro-environmental incentives (2015-2020)
- Providing Assistance to the Government of Republic of Kazakhstan to Implement the Green Economy Transition Concept of Republic of Kazakhstan and Institutionalize the Green Bridge Partnership Programme (2015-2017)

Area of climate change and chemicals:

- Nationally Appropriate Mitigation Actions for Low-carbon Urban Development (2015-2019)
- Energy Efficiency Lighting (2012-2017)
- City of Almaty Sustainable Transport (2011-2017)

- Improvement of the system of housing relations to increase the investment attractiveness and development of small and medium business in the sphere of housing and public utilities (2017-2019)
- Leapfrogging markets to high efficiency products (appliances, including lighting, and electrical equipment) (2017-2022)
- NIP update, integration of POPs into national planning and promoting sound healthcare waste management in Kazakhstan (2013-2017)
- Minamata Initial Assessment for Kazakhstan (2017-2019)
- Development of Kazakhstan's National Communication to the UNFCCC and Biennial Report (2014-2018)

Outcome status: Determine whether there has been progress made towards the Outcomes 3.1 achievement, and also identify the challenges to attainment of the outcomes. Identify innovative approaches and capacities developed through UNDP assistance. Assess the relevance of UNDP outputs to the outcomes.

Underlying factors: Analyze the underlying factors beyond UNDP's control that influenced the outcomes. Distinguish the substantive design issues from the key implementation and/or management capacities and issues including the timeliness of outputs, the degree of stakeholders and partners' involvement in the completion of outputs, and how processes were managed/carried out.

Strategic Positioning of UNDP: Examine the distinctive characteristics and features of UNDP's inclusive development programme and how it has shaped UNDP's relevance as a current and potential partner. The Country Office position will be analyzed in terms of communication that goes into articulating UNDP's relevance, or how the Country Office is positioned to meet partner needs by offering specific, tailored services to these partners, creating value by responding to partners' needs, demonstrating a clear breakdown of tailored UNDP service lines and having comparative advantages relative to other development organizations in the Sustainable Development and Urbanization result area.

Partnership strategy: Ascertain whether UNDP's partnership strategy has been appropriate and effective. What were the partnerships formed? What was the role of UNDP? How did the partnership contribute to the achievement of the outcome? What was the level of stakeholders' participation? Examine the partnership among UNDP and other donor organizations in the relevant field. This will also aim at validating the appropriateness and relevance of the outcome to the country's needs and the partnership strategy and hence enhancing development effectiveness and/or decision making on UNDP future role in development.

Lessons learnt: Identify lessons learnt and best practices and related innovative ideas and approaches in incubation, and in relation to management and implementation of activities to achieve related outcomes. This will support learning lessons about UNDP's contribution to the outcomes over the current PFD and CPD cycle so as to design a better assistance strategy for the next programming cycle.

4. EVALUATION CRITERIA

Outcome evaluation design should clearly spell out the key questions according to the evaluation criteria against which the subject to be evaluated. The questions when answered, will give intended users of the evaluation the information in order to make decisions, take action or add to knowledge. The questions cover the following key areas of evaluation criteria:

a) *Relevance:* *the extent to which the Outcome activities are suited to the priorities and policies of the country at the time of formulation:*

- Did the Outcome activities design properly address the issues identified in the country?
- Did the Outcome objective remain relevant throughout the implementation phase, where a number of changes took place in the development of Kazakhstan?
- How has UNDP's support for Kazakhstani ODA system positively contributed to a favorable environment for Sustainable development and Urbanization led by Kazakhstan?
- Has UNDP played a role in introducing the Government to the best global practices to promote partnership for SDG?
- Has UNDP unified stakeholders and contributed to a legal system in the related area in the work to promote Sustainable development and Urbanization?
- To what degree are approaches such as "human rights-based approach" to programming, gender mainstreaming and results-based management understood and pursued in a coherent fashion?

b) *Efficiency: measurement of the outputs in relation to the inputs.*

- Have the results been achieved at an acceptable cost, compared with alternative approaches with the same objectives? If so, which types of interventions have proved to be more cost-efficient?
- How much time, resources and effort it takes to manage the Sustainable development and Urbanization outcome? Where are the gaps if any?
- How did UNDP practices, policies, decisions, constraints and capabilities affect the performance of the Sustainable development and Urbanization portfolio?
- Has UNDP contributed to public awareness and communication strategy and increased the engagement of the beneficiaries and end-users in the Sustainable development and Urbanization ?

c) *Effectiveness: the extent to which the Outcome activities attain its objectives.*

- How many and which of the outputs are on track by 2018?
- What progress toward the Outcome delivery has been made by 2018?
- What factors have contributed to achieving or not achieving the intended Outcome?
- Has UNDP supported the Government to promote Sustainable development and Urbanization area?
- Has UNDP made impact to improve in Sustainable development and Urbanization?

d) *Sustainability: the benefits of the Programme related activities that are likely to continue after the Programme fund has been exhausted*

- How UNDP has contributed to Sustainable development and Urbanization capacity building of partners as a guarantee for sustainability beyond UNDP interventions?
- Are there national plans reforms to promote Sustainable development and Urbanization or likely to be developed, approved and implemented in the next few years?
- Has follow up support after the end of the Outcome activities been discussed and formalized? Is there a clear exit strategy?

Apart from the criteria above, there are additional commonly applied evaluation criteria such as impact, coverage, connectedness, value-for-money, client satisfaction and protection used in the evaluation, although, not all criteria are applicable to every evaluation. Within the Outcome evaluation there can be additional evaluation questions specified for each the criteria, however all they must be agreed with the UNDP in Kazakhstan. Based on the above analysis, Individual Consultant (herein referred to as Consultant) must provide recommendations on how UNDP in Kazakhstan should adjust its programming, partnership arrangements, resource mobilization strategies, working methods and/or management structures to ensure that the outcome change is achieved by the end of the current UN PFD and UNDP CPD period.

5. METHODOLOGY

This section suggests an overall approaches and methods for conducting the evaluation, as well as data sources and tools that will likely yield the most reliable and valid answers to the evaluation questions.

However, the final decisions about the specific design and methods for the evaluation should emerge from consultations between the evaluation consultant and UNDP Country Office about what is appropriate and able to meet the evaluation purpose, objectives and answers to evaluation questions.

This evaluation will be conducted by using methodologies and techniques suitable for the evaluation purpose, objective and evaluation questions as described in this ToR. In all cases, consultants are expected to analyse all relevant information sources, such as annual reports, project documents, mission reports, strategic country development documents and any other documents that may provide evidence on which to form judgements. The evaluation consultant is also expected to use interviews, surveys or any other relevant quantitative and qualitative tools as means to collect data for the evaluation. The evaluation consultant will make sure that the voices, opinions, and information of targeted citizens and participants of the CPD Outcome projects are taken into account.

The methodology and techniques to be used in the evaluation should be agreed upon with UNDP and other stakeholders and clearly outlined and described in detail in the Inception report and final evaluation report, and should contain, at minimum, information on the instruments used for data collection and analysis, whether these be documents, interviews, field visits, questionnaires or participatory techniques.

The evaluation consultant should seek guidance for their work in the following materials:

- UNEG [Norms for Evaluation in the UN System](#)
- UNEG [Standards for Evaluation in the UN System](#)

The methodology and techniques to be used in the Evaluation should be agreed upon with UNDP and other stakeholders and clearly outlined and described in the inception report and final evaluation report, and should contain, at minimum, information in the tools used for data collection and analysis, whether these be documents, interviews, field visits, questionnaires or participatory techniques.

Evaluation may include, but is not limited to, the following methods of data collection:

Desk review – review and identify relevant sources of information and conceptual frameworks that exist and are available (please, see Annex I).

Interviews – structured, semi-structured, in-depth, key informant, focus group etc. to capture the perspectives of beneficiaries and non-beneficiaries, participating ministries, departments and agencies, relevant personnel from UNDP Country Office and local authorities (regional, district and at the level of a county), donors, other relevant stakeholders (including trainees, community members and community leaders) and others associated with the Programme.

Case studies - in-depth review of one or a small number of selected cases, using framework of analysis and a range of data collection methods. Several case studies can be quite sophisticated in research design, however simpler and structured approaches to case study can still be of great value.

Information systems – analysis of standardized, quantifiable and classifiable regular data linked to a service or process, used for monitoring (desirable but not crucial).

The evaluation will use available data to the greatest extent possible. This will encompass administrative data as well as various studies and surveys. This approach will help address the possible shortage of data and reveal gaps that should be corrected as the result of the Evaluation.

The reliability of disaggregated data at the district level should be taken into account as the capacity for data collection at the local level is still quite low and it is relatively expensive to conduct comprehensive surveys at sub-regional level. In this regard, it is necessary to use objective and subjective data available from the official sources (national and local statistics offices, administrative data), additionally verified by independent sources such as surveys and studies conducted by local and international research companies, civil society organizations and UNDP. The relevant sources and access to data will be provided by UNDP and national stakeholders respectively.

The evaluation consultant must provide evidence-based information that is credible, reliable and useful. It must be easily understood by UNDP partners and applicable to the remaining period of CPD.

6. EVALUATION DELIVERABLES AND TIMEFRAME

The evaluation consultant will prepare reports which triangulate findings to address the questions of the final evaluation, highlight key significant changes in regard to the key thematic policy documents, draw out lessons learned, present findings and recommendations, reflecting comments and feedback received from selected staff. The structure of the reports should be used to guide the reader to the main areas (please, see Annex II for the Evaluation report template). The language of the reports should be simple, free from jargon and with specialist terms explained. It will be important to receive the report on a timely basis, as the information risks to be wasted if it arrives too late to inform decisions. Here are the principal evaluation products the evaluation consultant is accountable for following activities and deliverables:

1. **Evaluation inception report** (prepared after **Briefing** the evaluation consultant before going into the full-fledged data collection exercise and consist of *5-10 pages excluding annexes*) – to clarify the evaluation consultant's understanding of what is being evaluated and why, showing how each evaluation question will be answered by way of: proposed methods, proposed sources of data and data collection procedures (to be presented in an Evaluation matrix discussed below). The evaluation inception report should include a proposed schedule of tasks, activities and deliverables.
2. **Evaluation matrix** (suggested as a deliverable to be included in the Evaluation inception report) is a tool that evaluation consultant creates as map in planning and conducting an evaluation. It also serves as a useful tool for summarizing and visually presenting the evaluation design and methodology for discussions with stakeholders. It details evaluation questions that the evaluation will answer, data sources, data collection, analysis tools or methods appropriate for each data source, and the standard or measure by which each question will be evaluated. (Please, see Table below)

Relevant Evaluation criteria	Key Questions	Specific Sub-Questions	Data Sources	Data collection Methods Tools	Indicators/ Success Standard	Methods for Data Analysis
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3. **Draft evaluation report** (consist of 40-50 pages excluding annexes) – to be reviewed by the UNDP and other respective stakeholders at the end of data collection. The draft evaluation report should contain all the sections outlined in the *Evaluation Report Template* (please, see Annex II) and be accompanied by a PowerPoint presentation for a Stakeholders' meeting.
4. **Final Evaluation report.** The final task of the evaluation consultant is to prepare a comprehensive and well-presented copy of the final Evaluation report, covering all section of *Evaluation Report Template* (please, see Annex II) and containing 40-50 pages⁵⁷. Evaluation brief and summary are required.

Evaluation timeframe:

Deliverables	Number of days	Reporting period
Conducting a desk review	4 days	August 2018
The detailed evaluation inception report (to finalize evaluation design and methods)	3 days	August 2018
Field mission to Astana, Kazakhstan	5 days	August 2018

⁵⁷ Evaluation consultant may need to use 'Times New Roman' font at a size of 12 points, with Normal margin and line spacing 1.15.

Draft Evaluation report and Recommendations and Outline for future interventions	7 days	September 2018
Final Evaluation report and Recommendations and Outline for future interventions based on feedback and comments	6 days	September- October 2018
Total	25 days	

(e.g. 25 working days in total over a period of three months)

7. QUALIFICATIONS AND EXPERIENCE:

Functional competencies:

Professionalism

- Good knowledge of the UNDP system and UNDP country programming processes (CPD/CPAP);
- Specialized experience and/or methodological/technical knowledge, including data collection and analytical skills, mainstreaming HRBA and gender to programming;
- Results Based Management (RBM) principles, logic modelling/logical framework analysis, quantitative and qualitative data collection and analysis, and participatory approaches.

Communications

- Good communication (spoken and written) skills, including the ability to write reports, conduct studies and to articulate ideas in a clear and concise style.

Required Skills and Experience

Education

- Advanced university degree (Master's or equivalent) in environmental sciences including biodiversity, climate change, land degradation areas, economics, or related field.

Experience

- 7 years of the relevant professional experience; previous experience with CPD/CPAP evaluations and/or reviews including previous substantive research experience and involvement in monitoring and evaluation, strategic planning, result-based management (preferably in environmental);
- Practical experience in Eastern Europe and CIS region and/or knowledge of the development issues in Middle Income Countries is an asset.

Language Requirements

- Excellent written and spoken English. Knowledge of Russian is an asset;
- Excellent report writing skills as well as communication skills.

Other attributes

- An understanding of and ability to abide by the values of the United Nations;
- Awareness and sensitivity in working with people of various cultural and social backgrounds.
- Display cultural, gender, religion, race, nationality and age sensitivity and adaptability;

- It is demanded by UNDP that Consultant is independent from any organizations that have been involved in designing, executing or advising any aspect of the intervention that is the subject of the evaluation⁵⁸.

Evaluation Ethics

The evaluation must be conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation'⁵⁹ and should describe critical issues Consultant must address in the design and implementation of the evaluation, including evaluation ethics and procedures to safeguard the rights and confidentiality of information providers, for example: measures to ensure compliance with legal codes governing areas such as provisions to collect and report data, particularly permissions needed to interview or obtain information about children and young people, as well as some categories of vulnerable population; provisions to store and maintain security of collected information; and protocols to ensure anonymity and confidentiality. Consultant is also requested to read carefully, understand and sign the 'Code of Conduct for Evaluator in the UN System' (Annex III)

8. APPLICATION PROCEDURE

Interested candidates are invited to submit applications together with their CV for the contract with UNDP to conduct the final evaluation (please read the Procurement Notice for more details). The following documents/information must be submitted:

- a) Duly accomplished Letter of Confirmation of Interest and Availability using the template provided by UNDP;
- b) Personal CV and/or UNDP P11, indicating all past experience from similar projects, as well as the contact details (email and telephone number) of the Candidate and at least three (3) professional references;
- c) Brief description of why the individual considers him/herself as the most suitable for the assignment;
- d) Financial Proposal that indicates the all-inclusive fixed total contract price, supported by a breakdown of costs, as per template provided. If an Offeror is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the Offeror must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

Please note that the UN Online Recruitment System allows only one 'uploading', so please make sure that you merge all your documents into a single file.

9. FINANCIAL PROPOSAL

Lump sum contracts:

The financial proposal shall specify a total lump sum amount, and payment terms around specific and measurable (qualitative and quantitative) deliverables (i.e. whether payments fall in installments or upon completion of the entire contract). Payments are based upon output, i.e. upon delivery of the services specified in the TOR. In order to assist the requesting unit in the comparison of financial proposals, the

⁵⁸ For this reason, staff members of UNDP based in other country offices, the regional centers and Headquarters units should not be part of the evaluation consultant.

⁵⁹ UNEG, 'Ethical Guidelines for Evaluation', June 2008. Available at <http://www.uneval.org/search/index.jsp?q=ethical+guidelines>.

financial proposal will include a breakdown of this lump sum amount (including travel, per diems, and number of anticipated working days).

Travel:

All envisaged travel costs must be included in the financial proposal. This includes all travel to join duty station/repatriation travel. In general, UNDP should not accept travel costs exceeding those of an economy class ticket. Should the IC wish to travel on a higher class he/she should do so using their own resources.

Payment modalities and specifications

%	Milestone
10%	At contract signing (to cover cost related with initiation of the evaluation, i.e. travel, communication etc.)
30%	Following submission and approval of the draft Evaluation report by UNDP
60%	Following submission and approval of the final Evaluation report by UNDP

10. ANNEXES

Annex I: A list of key documents, among others, to be consulted and analyzed (to be provided by UNDP)

- UN Partnership Framework for Development (UNPFD) 2016-2020
- Country Programme Document 2016-2020
- Country Programme Action Plan 2016-2020
- Project Documents
- Project Progress Reports
- Relevant Government legislation and policy documents (to be provided by UNDP country office)
- Project publications
- Other relevant national strategic documents
- Other relevant UNDP CO documents

Annex II: Evaluation report template

This template is intended to serve as a guide for preparing meaningful, useful and credible Evaluation reports that meet quality standards. It does not prescribe a definitive section-by-section format that all Evaluation reports should follow. Rather, it suggests the content that should be included in a quality Evaluation report. The descriptions that follow are derived from the UNEG ‘Standards for Evaluation in the UN System’ and ‘Ethical Standards for Evaluations’⁶⁰.

The Evaluation report should be complete and logically organized. It should be written clearly and understandable to the intended audience. In a country context, the report should be translated into local languages whenever possible. The report should also include the following:

Title and opening pages — should provide the following basic information:

- Name of the Evaluation intervention
- Time frame of the Evaluation and date of the report
- Countries of the Evaluation intervention
- Names and organizations of evaluation consultant

⁶⁰ UNEG, ‘Standards for Evaluation in the UN System’, 2005, available at:

<http://www.unevaluation.org/unegstandards> and UNEG, ‘Ethical Guidelines for Evaluation’, June 2008, available at <http://www.uneval.org/search/index.jsp?q=ethical+guidelines>

- Name of the organization commissioning the Evaluation
- Acknowledgements

Table of contents — should always include boxes, figures, tables and annexes.

List of acronyms and abbreviations

Executive summary — A stand-alone section of two to three pages that should:

- Briefly describe the intervention (the project(s), programme(s), policies or other interventions) that was evaluated.
- Explain the purpose and objectives of the Evaluation, including the audience for the Evaluation and the intended uses.
- Describe key aspect of the Evaluation approach and methods.
- Summarize principle findings, conclusions, and recommendations.

Introduction — should:

- Explain why the Evaluation was conducted (the purpose), why the intervention is being evaluated at this point in time, and why it addressed the questions it did.
- Identify the primary audience or users of the Evaluation, what they wanted to learn from the Evaluation, why and how they are expected to use the Evaluation results.
- Identify the intervention (the project(s) programme(s), policies or other interventions) that was evaluated—see upcoming section on intervention.
- Acquaint the reader with the structure and contents of the report and how the information contained in the report will meet the purposes of the Evaluation and satisfy the information needs of the report's intended users.

Description of the intervention — provides the basis for report users to understand the logic and assess the merits of the Evaluation methodology and understand the applicability of the Evaluation results. The description needs to provide sufficient detail for the report user to derive meaning from the Evaluation. The description should:

- Describe **what is being evaluated**, **who seeks to benefit**, and the **problem or issue** it seeks to address.
- Explain the **expected results map or results framework**, **implementation strategies**, and the key **assumptions** underlying the strategy.
- Link the intervention to **national priorities**, UNDAF priorities, corporate multi-year funding frameworks or strategic plan goals, or other **programme or country specific plans and goals**.
- Identify the **phase** in the implementation of the intervention and any **significant changes** (e.g., plans, strategies, logical frameworks) that have occurred over time, and explain the implications of those changes for the Evaluation.
- Identify and describe the **key partners** involved in the implementation and their roles.
- Describe the **scale of the intervention**, such as the number of components (e.g., phases of a project) and the size of the target population for each component.
- Indicate the **total resources**, including human resources and budgets.
- Describe the context of the **social, political, economic and institutional factors**, and the **geographical landscape** within which the intervention operates and explain challenges and opportunities, those factors present for its implementation and outcomes.
- Point out **design weaknesses** (e.g., intervention logic) or other **implementation constraints** (e.g., resource limitations).

Evaluation scope and objectives — the report should provide a clear explanation of the Evaluation's scope, primary objectives and main questions.

Evaluation scope — the report should define the parameters of the Evaluation, for example, the time period, the segments of the target population included, the geographic area included, and which components, outputs or outcomes were and were not assessed.

Evaluation objectives — the report should spell out the types of decisions Evaluation users will make, the issues they will need to consider in making those decisions, and what the Evaluation will need to achieve to contribute to those decisions.

Evaluation criteria — the report should define the Evaluation criteria or performance standards used. The report should explain the rationale for selecting the particular criteria used in the Evaluation.

Evaluation questions — Evaluation questions define the information that the Evaluation will generate. The report should detail the main Evaluation questions addressed by the Evaluation and explain how the answers to these questions address the information needs of users.

Evaluation approach and methods — the Evaluation report should describe in detail the selected methodological approaches, methods and analysis; the rationale for their selection; and how, within the constraints of time and money, the approaches and methods employed yielded data that helped answer the Evaluation questions and achieved the Evaluation purposes. The description should help the report users judge the merits of the methods used in the Evaluation and the credibility of the findings, conclusions and recommendations. The description on methodology should include discussion of each of the following:

Data sources — the sources of information (documents reviewed and stakeholders), the rationale for their selection and how the information obtained addressed the Evaluation questions.

Sample and sampling frame — If a sample was used: the sample size and characteristics; the sample selection criteria (e.g., single women, under 45); the process for selecting the sample (e.g., random, purposive); if applicable, how comparison and treatment groups were assigned; and the extent to which the sample is representative of the entire target population, including discussion of the limitations of the sample for generalizing results.

Data collection procedures and instruments — Methods or procedures used to collect data, including discussion of data collection instruments (e.g., interview protocols), their appropriateness for the data source and evidence of their reliability and validity.

Performance standards — the standard or measure that will be used to evaluate performance relative to the Evaluation questions (e.g., national or regional indicators, rating scales). A summary matrix displaying for each of Evaluation questions, the data sources, the data collection tools or methods for each data source and the standard or measure by which each question was evaluated is a good illustrative tool to simplify the logic of the methodology for the report reader.

Stakeholder engagement — Stakeholders' engagement in the Evaluation and how the level of involvement contributed to the credibility of the Evaluation and the results.

Ethical considerations—the measures taken to protect the rights and confidentiality of informants (see UNEG 'Ethical Guidelines for Evaluation consultant' for more information)⁶¹.

Background information on evaluation consultant —The background and skills of the consultant and the appropriateness of the technical skill mix, gender balance and geographical representation for the Evaluation.

Major limitations of the methodology — Major limitations of the methodology should be identified and openly discussed as to their implications for Evaluation, as well as steps taken to mitigate those limitations.

Data analysis — the report should describe the procedures used to analyze the data collected to answer the Evaluation questions. It should detail the various steps and stages of analysis that were carried out, including the steps to confirm the accuracy of data and the results. The report also should discuss the appropriateness of the analysis to the Evaluation questions. Potential weaknesses in the data analysis and gaps or limitations of the data should be discussed, including their possible influence on the way findings may be interpreted and conclusions drawn.

⁶¹ UNEG, 'Ethical Guidelines for Evaluation', June 2008. Available at <http://www.uneval.org/search/index.jsp?q=ethical+guidelines>.

Findings and conclusions — the report should present the Evaluation findings based on the analysis and conclusions drawn from the findings.

Findings — should be presented as statements of fact that are based on analysis of the data. They should be structured around the Evaluation criteria and questions so that report users can readily make the connection between what was asked and what was found. Variances between planned and actual results should be explained, as well as factors affecting the achievement of intended results. Assumptions or risks in the project or programme design that subsequently affected implementation should be discussed.

Conclusions — should be comprehensive and balanced, and highlight the strengths, weaknesses and outcomes of the intervention. They should be well substantiated by the evidence and logically connected to Evaluation findings. They should respond to key Evaluation questions and provide insights into the identification of and/or solutions to important problems or issues pertinent to the decision making of intended users.

Recommendations — the report should provide practical, actionable recommendations directed to the intended users of the report about what actions to take or decisions to make. The recommendations should be specifically supported by the evidence and linked to the findings and conclusions around key questions addressed by the Evaluation. They should address sustainability of the initiative and comment on the adequacy of the project exit strategy, if applicable.

Lessons learned — as appropriate, the report should include discussion of lessons learned from the Evaluation, that is, new knowledge gained from the particular circumstance (intervention, context outcomes, even about Evaluation methods) that are applicable to a similar context. Lessons should be concise and based on specific evidence presented in the report.

Report annexes — suggested annexes should include the following to provide the report user with supplemental background and methodological details that enhance the credibility of the report:

- ToR for the Evaluation
- Additional methodology-related documentation, such as the Evaluation matrix and data collection instruments (questionnaires, interview guides, observation protocols, etc.) as appropriate
- List of individuals or groups interviewed or consulted and sites visited
- List of supporting documents reviewed
- Project or programme results map or results framework
- Summary tables of findings, such as tables displaying progress towards outputs, targets, and goals relative to established indicators
- Short biographies of the evaluation consultant
- Code of conduct signed by evaluation consultant

Annex III: Evaluation Consultant Code of Conduct and Agreement Form

Consultant must:

- ✓ Be responsible for performance and product(s) for the clear, accurate and fair written and/or oral presentation of study findings and recommendations.
- ✓ Present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
- ✓ Reflect sound accounting procedures and be prudent in using the resources of the evaluation.
- ✓ Consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
- ✓ Conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
- ✓ Protect the anonymity and confidentiality of individual informants, provide maximum notice, minimize demands on time and respect people's right not to engage.

- ✓ Must respect people's right to provide information in confidence and ensure that sensitive information cannot be traced to its source and not evaluate individuals.
- ✓ Be sensitive to beliefs, manners and customs and act with integrity and honesty in relations with all stakeholders in line with the UN Universal Declaration of Human Rights.
- ✓ Be sensitive to and address issues of discrimination and gender equality.

Evaluation Consultant Agreement Form⁶²

Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: _____

Name of Consultancy Organization (where relevant): _____

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at *place* on *date*

Signature: _____

⁶² For more information on Code of Conduct please visit: www.unevaluation.org/unegcodeofconduct

ANNEX III: EVALUATION QUESTIONS

Cluster's Position in the Country Programme
<ul style="list-style-type: none"> What are Kazakhstan's priorities in the area of E&E? Is there a strategic document where these priorities are identified?
<ul style="list-style-type: none"> Which are the key ministries for these areas? What functions do those ministries cover?
<ul style="list-style-type: none"> Does the E&E (incl. Disaster Management) area in the CO programme function as a cluster? If so, how would you describe it?
<ul style="list-style-type: none"> How is the E&E (incl. Disaster Management) cluster organized in the UNDP Country Programme? How many staff in the programme are dedicated to the cluster?
<ul style="list-style-type: none"> What part of the programme does this cluster constitute? How many components (clusters) are there in the country programme? How large is this cluster relative to the other clusters in the CPD? In financial terms? Are other clusters structured in the same way?
<ul style="list-style-type: none"> Is the cluster linked to the other UNDP programme areas? If so, which ones and how?
Composition and Functioning of the Cluster
<ul style="list-style-type: none"> In the information provided, it was stated that all projects have a dedicated Project Manager. Do all projects have a project team (besides a Project Manager)? Where are project teams based – how many in the UNDP office and how many in the premises of partner institutions?
<ul style="list-style-type: none"> To whom do Project Managers report in the CO?
<ul style="list-style-type: none"> Are the projects within the cluster coordinated? If so, how?
<ul style="list-style-type: none"> Are there regular Cluster meetings attended by all project managers?
<ul style="list-style-type: none"> Are there any projects that share more than information with each other? Let's say – they share staff, or premises, or they have joint activities, etc.
<ul style="list-style-type: none"> How the projects monitored by the programme staff? Are the indicators in the CPD RRF used? Is there a system for tracking progress along identified CPD outcomes?
Coordination with Government Partners
<ul style="list-style-type: none"> How are activities coordinated with government partners?
<ul style="list-style-type: none"> Is the government well-coordinated in this area? Are there any challenges? What specifically?

<ul style="list-style-type: none"> Do all projects have functioning boards chaired by government counterparts?
<ul style="list-style-type: none"> Is there a focal point for the cluster in the government? If so, how are contacts maintained?
<ul style="list-style-type: none"> Is there a GEF focal point? If so, how are contacts maintained?
<ul style="list-style-type: none"> Are activities at the sub-national level coordinated with the national level?
<p style="text-align: center;">Coordination with Donors</p>
<ul style="list-style-type: none"> Who are the main donors in this area? How are they positioned?
<ul style="list-style-type: none"> How do donors coordinate among themselves? Are there any sectoral/thematic groups? Who are the leaders in the donor community?
<ul style="list-style-type: none"> How do donors coordinate with the government? Is the government active in coordination?
<ul style="list-style-type: none"> How does the cluster coordinate with donors? How do individual project coordinate with donors?
<ul style="list-style-type: none"> How does UNDP coordinate with donors in the area in question?
<ul style="list-style-type: none"> Is there any document that outlines donor contributions in this area?
<p style="text-align: center;">Challenges</p>
<ul style="list-style-type: none"> What are the main challenges the programme faces?
<ul style="list-style-type: none"> What have been the main actions taken to address major problems?
<ul style="list-style-type: none"> Are there any project that faces significant challenges?
<ul style="list-style-type: none"> Which of the following are challenging for the programme and/or specific projects: <ul style="list-style-type: none"> Government engagement/commitment Procurement Staff recruitment Financing/co-financing Policy implementation Scaling up
<ul style="list-style-type: none"> Are there any challenges with securing the sustainability of interventions?

ANNEX IV: FULL LIST OF E&E PROJECTS

PM	SDU key area	Project ID	Project Title	Project Duration	Budget	Status
Talgat Kerteshev	Biodiversity	#85253	“Building Transformative Policy and Financing Frameworks to Increase Investment in Biodiversity Management” (BIOFIN)	2013-2018	591,433	Ongoing
		#86425	Improving sustainability of the PA system in desert ecosystems through promotion of biodiversity-compatible livelihoods in and around PAs	2013-2018	4,364,000	completed
		#106963	6th National report on BD	2018-2019	100,000	Ongoing
		#90945	FSP Improvement of the decision-making process in Kazakhstan through introduction of mechanisms of economic assessment of fulfilling national obligations under global environmental agreements (CB2)	2014-2017	500,000	completed
		#95896	Providing Assistance to the Government of Republic of Kazakhstan to Implement the Green Economy Transition Concept of Republic of Kazakhstan and Institutionalize the Green Bridge Partnership Programme	2015-2017	1,433,894	completed
		#101043	Conservation and sustainable management of key globally important ecosystems for multiple benefits	2018-2022	8,069,178	Ongoing
Yerlan Zhumabayev	land management, water managent, climate change and	#95082	Supporting sustainable land management in steppe and semi-arid zones through integrated territorial planning and agro-environmental incentives	2015-2020	1,900,000	Ongoing
		#91092	Enabling Transboundary Cooperation and Integrated Water Resources Management in the Chu and Talas River Basins	2014-2018	1,000,000	Ongoing

PM	SDU key area	Project ID	Project Title	Project Duration	Budget	Status
	disaster risk reduction	#99240	Strengthening human resources, legal frameworks, and institutional capacities to implement the Nagoya Protocol	2017-2020	350,000	Ongoing
		#105300	Project of KFS and UNCCD “Integrated Dryland and Drought Management in Kyzylorda region”	2017-2018	100,000	Ongoing
		#101036	Capacity building: Rehabilitation of Irrigation and Drainage	2017-2020	890,000	Ongoing
		#105300	Global water challenge	2017-2018	99,954	Ongoing
Nina Gor	waste management	#85149	NIP update, integration of POPs into national planning and promoting sound healthcare waste management in Kazakhstan	2013-2017	3,475,000	completed
		#104349	Minamata Initial Assessment for Kazakhstan	2017-2019	400,000	Ongoing
		#106781	PPG HCFC Phase-out in Kazakhstan through Promotion of zero ODS low GWP Energy Efficient Technologies	2017-2018	120,000	Ongoing
Syrym Nurgaliyev	climate change - energy efficiency	#80414	EE Lighting	2012-2017	3,400,000	completed
		#101056	Leapfrogging markets to high efficiency products (labeling)	2017-2022	3,500,000	Ongoing
		#101058	De-risking Renewable Energy Investment (DREI)	2017-2022	4,510,000	Ongoing
Alexandr Belyi	climate change - energy efficiency	#91328	Nationally Appropriate Mitigation Actions for Low-carbon Urban Development (NAMA)	2015-2019	5,930,000	Ongoing
		#105844	Improvement of housing relations system to leverage investments and development of small and medium enterprises for housing sector	2017-2019	1,207,685	Ongoing
Saulet Sakenov	climate change	#90571	Development of Kazakhstan’s National Communication to the UNFCCC and Biennial Report (7NC)	2014-2018	852,000	Ongoing

PM	SDU key area	Project ID	Project Title	Project Duration	Budget	Status
		#102961	GCF Readiness	2018-2019	272,727	Ongoing
Gulzhamal Issayeva	green technologies in water sector	#93850	EU-Supporting Kazakhstan's transition to a "Green Economy" model"	2015-2018	8,733,000	Ongoing
Yelena Yerzakovich	climate change - transport	#76355	City of Almaty Sustainable Transport	2011-2017	4,886,000	completed