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UNDP/GEF Project:
Design and Execution of a Comprehensive PCB Management Plan in Kazakhstan.

MID-TERM EVALUATION REPORT

Main conclusions, recommendations and lessons learned.



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ACRONYMS

AMT	Arcelor Mittal
APR	Annual Progress Report
AWP	Annual Work Plans
GEF	Global Environment Facility
KazNIEC	Kazakh Institute of Economics and Climate
KEGOC	Kazakhstan Electricity Grid Operating Company
MEP	Ministry of Environmental Protection
MTE	Midterm Evaluation
NEX	National execution
NGO	Non-governmental organization
NIP	National Implementation Plan
NPD	National Project Director
PIR	Project Implementation Report
POPs	Persistent Organic Pollutants
PPG	Project Preparation Phase
UNDP	United Nations Development Programme
USD	United States dollars
FSP	Full-size Project
NIM	National Implementation Modality
PCB	Polychlorinated Biphenyls
FSP	Full Size Project
TFS	Basel Convention Transfrontier Movement

1. EXECUTIVE SUMMARY

1.1 Project Description

The project, "Design and Execution of a Comprehensive PCB Management Plan for Kazakhstan", is a Global Environment Facility (GEF) funded full-size project (FSP). The funding for this project comes from GEF funds (USD$ 3,300,000), UNDP (USD$ 15,000), and co-financing from the project stakeholders (USD$ 17,519,682) for a total budget of USD$ 20,819,682. The project is executed under the United Nations Development Program (UNDP) in Kazakhstan with the National Implementation (NIM) modality, with the Ministry of Environmental Protection (MEP) as the national executing agency. The project is planned for 5 years, starting in February 2010 and it is expected to be completed in December 2014.

The project objective is to enhance the capacity for the safe management of PCB contaminated equipment and oils at all stages of the PCB management cycle in Kazakhstan. The project will establish and implement a comprehensive PCB management plan for Kazakhstan. The primary goals of the project are to minimize the exposure to PCBs among the population and the environment, and to reduce the resulting health and environmental impacts through the development and implementation of a systematic PCB management plan.

The project objective will be achieved through the following outcomes:

Outcome 1. Regulatory and administrative strengthening for sound PCB management.

Outcome 2. Capacity building for sound PCB management, identification of additional PCB sources.

Outcome 3. Replacement, setting-up safe dismantling of 850 tons of PCB transformers and their safe disposal.

Outcome 4. Regionally organized secure storages and disposal of capacitors.

1.2 Context and Purpose of the Evaluation

This mid-term evaluation has been executed in accordance with the GEF and UNDP evaluation policies for FSPs. This evaluation is an assessment of the overall project execution and its progress towards completing the established objectives, outcomes, and outputs indicated in the project document, based on the standard evaluation criteria: relevance, efficiency, effectiveness, results and sustainability. The evaluation process included the desk review of the project documents, site visits and interviews with persons involved in the project. Based on the assessment, the evaluation team made

recommendations for possible changes to be implemented during the second half of the project, in order to help achieve the desired outcomes. The project development and effectiveness was evaluated using the indicators established in the project's logical framework matrix and the corresponding means of verification.

1.3 Results

At this mid-term point of the project implementation, it can be concluded that the project has been correctly executed and will most likely achieve its expected outcomes, although there may be a risk that not all of the expected PCB export/elimination may be completed. This evaluation concludes that the **overall project achievement and impact** is rated as **satisfactory.**

- The **project concept/design, relevance and strategy** are considered to be **satisfactory.** The project design was clearly elaborated and the proposed objectives, outcomes, and outputs are in line with the Kazakhstan's national sectoral and development priorities.

- Having reviewed all of the elements of the project implementation and financial management, the project **efficiency** is rated **satisfactory.** Project management has been carried out in a satisfactory manner, fulfilling all of the UNDP project guidelines, utilizing the requisite monitoring and evaluation instruments (APR and PIR), as well periodic risk management evaluations.

- The stakeholders have worked well with the project team through their active participation in the Project Board and in dealing with the ministries, government agencies, private sector PCB owners, and NGOs.

- Budget monitoring has been satisfactory. In order to meet the 100% execution mark by the end of the project (December, 2014), the rate disbursement of funds must be increased. The co-financing commitment has been positive with a total of USD$ 11,564,677 already committed, of the total amount of USD$ 17,519,677 planned in the project document. Although the original project co-financing commitment will not be reached an additional USD$ 1,590,450, not originally planned, has been leveraged as part of the project results. A total of approximately UDS$ 1,000,000 more is planned and expected to be committed during the remainder of the project.

- The first outcome has been completed; the second is well along in its completion stage. The third and fourth are in progress, and work for their completion has been planned for the remainder of the project. The project **effectiveness** at the project mid-term point is rated **satisfactory.**

- **Outcome 1** and its outputs have been completed and the requisite legislation approved and implemented. The EcoCode has been amended to include the management of POPs. The technical guidelines necessary for compliance were developed and training was provided on safe PCB management practices.

- **Outcome 2** and its outputs will be completed with the presentation of proposed PCB management plans covering phase out and disposal. One plan has been approved and the project is planning to have 10 plans next year, 2013. Other such plans will be completed during the remaining of the project period, ending in December 2014.

- **Outcome 3** calls for a disposal plan that is both economically and technically viable. In the case of Kazakhstan, with the large amounts of capacitor and transformer containing copious quantities of PCB, the only alternative is the exportation to an industrial disposal site in Europe. Under this component, 60 tons of oil will be eliminated from 24 transformers that belong to Arcelor Mittal. This is on hold, pending the approval of an export transit route.

- **Outcome 4** calls for setting up regional storage facilities, but MEP is not considering at the present time to set up facilities, until the finalization of the export issue. Instead, the project proposed a tender to establish a storage center for the collection and preparation of equipment for export. The evaluating team visited the ASTANA NAN facility in Stepnogorsk and found the storage conditions and planned activities to be in line with proper PCB management guidelines.

  The lack of an approved transit route poses a major obstacle for the progress and ultimate success of the project. It is possible that the transport of the capacitors may be allowed since oil is contained in sealed containers.

1.4 Recommendations

Recommendation 1. The project team should work with the PCB owners more intensively to help them complete their plans within the project time line.

Recommendation 2. A clear exit strategy needs to be developed so that the mechanisms and structures are created during the project implementation to guarantee the end of funding sustainability.

Recommendation 3. Technical standards should be defined before the inventory is started so that the companies are aware of what they are expected to evaluate.

Recommendation 4. In order to meet a 100% execution mark by the end of the project in December of 2014, the measures should be taken to accelerate the project activities, as for now about 30.5% of budget has been utilized..

Recommendation 5. It is recommended to take the component on disposal of Daryal-U capacitors out of the project document, as half of them were taken for disposal before the start of the project, and the remaining half is not in the competency of the project being under responsibility of the government.

Recommendation 6. PCB issues should be included in high level education, university levels, to prevent future impacts and a level of awareness among the new professionals.

Recommendation 7. The new regulation approved was not clear in the storage control aspects and standards. There exists a lack of clearness as to who will control and monitor the activity and how it should be reported. This should be addressed with the MEP by the project manager to clarify it to the stakeholders.

Recommendation 8. Once the more inventory information is available, the project should consider the needs for an alternative to the exporting of contaminated equipment and oils would be to treat locally the low concentration PCBs using a service provider with anyone of the available technologies such as dechlorination and transformer decontamination.

Recommendation 9. The disadvantage of the ASTANA NAN interim storage facility location is that it is very far north in the country and the distances for transporting of contaminated equipment and oils are large. It is this evaluating team's suggestion that another storage facility be established in the southern part of the country.

Recommendation 10. If there is no viable transit route for PCB elimination under outcome 3, MEP, project management and UNDP should address the GEF about this situation and evaluate alternative actions.

Recommendation 11. The MEP will need to respond to the necessary notifications required by the Basel Convention Transfrontier Movement (TFS) once the project is completed and the elimination process continues.

Recommendation 12. The project should further support the process of laboratory accreditation and ensure that there is a adequate amount of laboratories accredited to provide for Inventory needs. Various sorts of activities should be involved, including practical trainings, consultations, technical assistance, introduction of methods and analytical standards, etc.

Recommendation 13. Funds from component 3 should be considered to be transferred to **Outcome 4**, in order to increase the amount of equipment and oils that can be eliminated.

Table 1. Kazakhstan PCB project mid-term evaluation rating summary.

PROJECT COMPONENT OR OBJECTIVE	RATING SCALE						RATING
	HU	U	MU	MS	S	HS	
PROJECT CONCEPT/DESIGN, RELEVANCE AND STRATEGY							
Project relevance, country ownership/drivenness						X	**HS**
Stakeholder involvement					X		**S**
Management arrangements					X		**S**
Project budget and duration						X	**HS**
Design of project M&E system						X	**HS**
PROJECT IMPLEMENTATION							
Adaptive management					X		**S**
Monitoring systems						X	**HS**
Risk management						X	**HS**
Work planning					X		**S**
Financial management					X		**S**
Reporting						X	**HS**
Delays					X		**S**
Stakeholder participation, partnership strategy							
Production and dissemination of information						X	**HS**
Local resource users and NGOs participation					X		**S**
Establishment of partnerships					X		**S**
Involvement and support of governmental institutions						X	**HS**
PROJECT RESULTS (see table 1)					**X**		**S**

OVERALL PROJECT ACHIEVEMENT & IMPACT					X		**S**

2. INTRODUCTION

2.1 Project background

The United Nations Development Program (UNDP) country office in Kazakhstan is responsible partner for the project, "Design and Execution of a Comprehensive PCB Management Plan for Kazakhstan" (for future references the Project), implemented in accordance with established UNDP national implementation (NIM) procedures by the Ministry of Environment Protection (MEP). This is a GEF funded five year project which started in February of 2010 and is expected to be finalized in December 2014.

The project responds to the need for providing simple methods for the identification of PCBs, to update and complete the national inventory, determine norms and regulations for PCB management, and to develop procedures for the final disposal of these contaminants.

Kazakhstan has signed and ratified both the Stockholm Convention and Basel Convention and has formulated and presented their National Implementation Plan to the Stockholm Secretariat.

The purpose of this project is to establish and implement a comprehensive PCB management plan for Kazakhstan. The primary goals are to minimize the exposure to PCBs and reduce the resulting health and environmental impacts by developing a systematic PCB management plan. The project will create some of the necessary capacities such as the regulations and technical guidelines for the identification, monitoring, control and disposal of PCB contaminated equipment, oils and waste in an environmentally sound manner under an integrated PCB management system. The analytical capacity was enhanced through workshops and a field study trip.

The initial PCB inventory for Kazakhstan estimates that there are 56,000 PCB capacitors containing approximately 757 tons of PCB in 2,500 tons of equipment.

This project, its objective, outcomes and outputs will be developed under the Strategic Objective of GEF-4 for Persistent Organic Pollutants focal area (C.31.10). The project outcomes and activities are in line with the Strategic Objective 1: Strengthening Capacity for NIP Development and Implementation; and Strategic Objective 2: Partners in Investments for NIP Implementation of POPs Focal Area Strategy for Persistent Organic Pollutants.

The project budget from GEF financing is USD $3,300,000 and USD $15,000 from UNDP financing. The co-financing for this project amounts to an expected USD $17,519,682. The total project budget is distributed as per the following table:

Table 2. Project Co-financing according to PRODOC.

Entities	Total USD $
Government of Kazakhstan (grant/in-kind)	10,901,356
Private sector international (Outcome 4)	2,983,000
Private sector national (Outcome 3)	3,475,000
Private sector national (Outcome 4)	160,324
Total co-financing	**17,519,682**
GEF funds	3,300,000
Total project budget	**20,819,682**

Source: Design and Execution of a Comprehensive PCB Management Plan for Kazakhstan, UNDP Project Document.

2.2 Scope of the evaluation and its objectives

This project is at the midpoint of its execution period. The UNDP office in Kazakhstan is required to undertake a midterm evaluation (MTE) according to the requirements and standards established by GEF and UNDP under the Results Based Management framework.

This evaluation was an assessment of the overall project execution and its progress towards the fulfillment of its established objectives, outcomes and outputs as indicated in the project document. Based on the evaluation of the project documents, site visits, and interviews, the evaluation team made recommendations for possible changes to be made during the second half of the project's execution period, in order to achieve its expected outcomes.

The project development and effectiveness was evaluated based on the indicators established in the project's logical framework matrix, and in the corresponding means of verification.

2.3 Methodology and Activities

The evaluating team, comprised of international and national consultants, met with the project manager, Amina Beibitova, and the UNDP representative, Emilia Wahlström, Programme Analyst, and defined the details, objectives and activities that would be completed during the evaluation mission.

The evaluation mission was in Kazakhstan from October 1st to the 5th, 2012, and was concentrated in the cities of Astana, Karaganda, Temirtau and Stepnogorsk. During the mission, meetings were held with representatives of the following entities from different areas of the project: (see Field Visit Report).

2.3.1 Team composition

Government Institutions

- Ministry of Environmental Protection (MEP)
- Ministry of Health
- Ministry of Defense
- Ministry of Agriculture
- Ministry of Oil and Gas
- Ministry of Industry and New Technologies

Environmental Agencies

- Kazakh Institute of Ecology and Climate (KazNIEC)
- KazHydromet

PCB owners and industry organizations

- Arcelor Mittal (AMT)
- Kazakhstan Electricity Grid Operating Company (KEGOC)
- KAPUR - Kazakhstan Association of Industries for Sustainable Development)
- Energo Ugol
- KazakhMys

Chemical Laboratory and Research Institute

- RECETOX (via Skype)

NGO

- EcoMuseum

PCB Storage Manager

- ASTANA-NAN

Project Staff and UNDP representatives

- Amina Beibitova- Project Manager, PCB project
- Emilia Wahlstrom, Programme Analyst, UNDP
- Gaukhar Maikenova, Capacity Development Specialist, PCB Project
- Almat Abenov. Transportation and Logistics Expert, PCB Project
- Maksim Surkov, UNDP Bratislava.
- Stanislav Kim- Head of Energy and Environment Unit, UNDP

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The methodology followed by the consultant for this evaluation was to analyze the documentation supplied by the Project Team and the UNDP Programme Analyst. This included a review the activities and objectives, outcomes and outputs contained in the document. The content of the Project implementation reports, annual reviews, financial planning and disbursements, annual work plans (AWP), as well as quarterly progress reports were reviewed to establish the present situation of the project's design and implementation.

The information collected during the document review process was discussed with the different stakeholders in the course of 22 interviews, in accordance with the discussion guidelines, to address certain issues. During the evaluation process, an effort was made to interview and present different opinions with representatives of the various stakeholders involved in the Project's implementation.

Annex 7: Rate Tables (Table 1: Status of objective/outcome deliver as per the measureable indicators and Table 2: Project Ratings), contain the results of the documentation review, stakeholder interviews, and field visits.

The objectives of this evaluation will focus on accountability and transparency and the evaluation of the project's accomplishments against the baseline conditions, outcomes, outputs and their verifiable indicators. There will be lessons learned during the first half of the project implementation that will be useful in improving the design and implementation of future GEF projects.

In Annex 3, there is a list of contacts, field visit reports and the mission agenda.

3. THE PROJECT AND ITS DEVELOPMENT CONTEXT

From 2003 to 2006, the first Persistent Organic Pollutants (POPs) project was developed and an initial PCB inventory was completed. In 2009 Kazakhstan presented its National Implementation Plan (NIP), in the primary objective was to establish and implement a national PCB Management Plan. A five year project was formulated to address this priority. The project had some delay in its approval process but it was started in February, 2010 and is expected to be completed by December, 2014.

At the time of this midterm evaluation (MTE), October 2012, the project has been in operation for 2 years and 8 months. From the total project GEF funding of US$ 3,315,000, a total of US$ 1,036,708.84 (30.5%) has been spent. The co-financing amount defined in the project document is US$ 17,519,682 of which US$ 11,564,677 have already been committed. This represents approximately 66% of the budgeted amount.

3.1 Problems that the project should address

PCBs are an important environmental and health hazard in Kazakhstan. The country has inherited PCB contaminated equipment and oil from when it was part of the Soviet Union. This persistent organic pollutant was use in its production of capacitors and transformers for strategic industries and defense facilities.

At the time of the preliminary inventory, there were a total of 56,000 capacitors containing *ca* 757 tons of PCBs stored in almost 2,500 tons of contaminated equipment. From 2007 to 2009 approximately 10,052 capacitors were exported to Germany for final disposal. There are also large amounts of PCB oils originally used as coolant the chemical reactors employed by chemical plants.

The primary objective of this Plan is "to enhance the capacity for safe management of PCB oil and PCB containing equipment at all stages of the PCB management cycle in Kazakhstan"[1] , also identified as a priority in the National Implementation Plan (NIP), and is the need to increase the existing laboratory's analytical capacity. A third priority is the phasing out and subsequent disposal of existing PCB contaminated equipment and oil.

Prior to this project, there was no specific legislation for PCB management in Kazakhstan. One of the outputs of this project has been the formulation and approval of a Persistent Organic Pollutants (POPs) management regulation that addresses PCB management issues and requires PCB owners to formulate and implement PCB management plans. This normative has also been included as PCB sound management amendments to the national Eco Code. The Eco Code requires PCB owners to maintain an updated Inventory, develop and implement a Phase Out Plan, and a Disposal plan.

The project has been successful in the fulfillment of its Outcome No. 1 Regulatory and administrative strengthening for sound PCB management with the inclusion of the topic of PCBs in the Eco Code and it was included as a necessary requirement for all companies into legislation. Technical guidelines for PCB management have been developed and training workshops held to enhance the stakeholders in their general knowledge of PCBs.

To increase the national analytical capacity to identify, monitor and control PCBs in equipment and oils, a special study tour travelled to the Czech Republic to participate in a workshop at RECETOX, a chemical institute with experience in PCB analysis.

[1] UNDP Project Document, Government of Kazakhstan, UNDP, "Design and Execution of a Comprehensive PCB Management Plan for Kazakhstan".

3.2 Main stakeholders

The project has a project board that meets regularly and has the responsibility to monitor the project's implementation, provide advice and guidance, and facilitate communications and cooperation among the stakeholders. The project board is comprised of representatives from the key stakeholders. This includes representatives from the Ministry of Environment Protection (MEP), Ministry of Agriculture, Ministry of Health, Ministry of Defense, Ministry of Emergency Control, Ministry of Labor and Social Security, Ministry of Industry and Trade, Ministry of Transport and Communications, Ministry of Energy and Mineral Resources, Ministry of Education and Science, Ministry of Internal Affairs, Ministry of Finance (Customs Control), as well as industry representatives, NGOs, and the UNDP.

The main stakeholders for this project are the Ministry of Environment Protection, the Ministry of Health, and the Ministry of Defense. From the environmental agencies, additional stakeholders include: Kazakh Institute of Economics and Climate JSC "Zhasyl Damu" and KazHydromet. Industrial PCB owners that are also involved in the project include: Arcelor Mittal (AMT), KEGOC, NEPC (KAPUR), KazakhMys and Energo Ugol. The other important stakeholder is ASTANA-NAN, in charge of implementing logistics and storage for this project.

3.3 Results expected

The project is expected to design and execute a PCB management plan for Kazakhstan. The PCB management plan contains key elements necessary for a successful implementation. The first key element requires all PCB owners to be in compliance with management guidelines and standards.

In addition, the institutional capacity to monitor and enforce compliance is strengthened by increasing the national analytical capacity in order to better identify PCBs in contaminated equipment and oil. This includes training of inspectors in the assessment of proper inventory procedures and management practices.

A third element for the successful and sustainable implementation of a PCB management plan is increasing the level of public awareness about the health risk due to PCB impacts and the proper training for the environmentally safe management of contaminated equipment and oil.

Lastly, is the creation of national capacities for interim storage of PCB contaminated equipment and oils and alternatives for disposal of these inventories. The project

expects to create this capacity through a regionally organized secure storage for capacitors, transformers and oils prior to disposal. The disposal process will evolve through pilot projects that will facilitate the elimination by exportation abroad, under the Basel Convention protocol, of a limited amount of transformers, oils and capacitors according to the project´s budget.

3.4 Analysis of the situation with regard to outcomes, outputs and partnership strategy

The Midterm evaluation is not really at the half way point of the project development but more at 2 years and 8 months from the project starting date. The project has had several notable results that contribute to the partial fulfillment of all 4 components.

The following are some of the most important project results to this date:

A. The formulation and approval of a PCB management regulation that is in the initial implementation stage. The acceptance of this regulation was demonstrated by the interest generated among PCB owners in the interviews regarding their obligation to update their PCB inventories, develop their management plans and put in practice a phase out and disposal plan.

The incorporation of a POPs management amendment to the national Eco Code, which addresses PCB management, is a significant indicator sustainability of an environmentally sound management of PCBs once the GEF funding has ended.

Both of these regulatory actions have become a moving force in the project's progress and are vital to the sustainability of the national PCB management plan.

B. A series of guidelines have been developed by international consultants in the different phases of PCB management. The guidelines that were developed are:

- Overview of PCB disposal and treatment technologies.
- PCB Management Guideline.
- Guidelines for PCB Contaminated Site Risk Assessment.
- Instructions for storage of PCB containing equipment and waste.
- Design of proposed POPs monitoring network in Kazakhstan.
- Guidelines for preparation of the PCB management plans.
- Risk Assessment Manual.

- Review of the current situation in the field of POPs monitoring in the environment in Kazakhstan and abroad

These guidelines have been disseminated through a total of 30 workshops held in many regions of the country. The project management team has taken the workshops to the regions, rather than having them only in the capital of Astana. This facilitates a larger participation from local stakeholders, many of whom would be unlikely to participate if they had to travel great distances to attend a workshop.

The following table illustrates the number of workshops and how the gender issue is address with very close to equal participation in all of these activities. An important part of all of these workshops was raising awareness of the environmental and health impacts that inadequate handling of PCB contaminated equipment and oils can produce. In addition, they helped to explain the country's commitment to the objectives of the Stockholm Convention.

Table 3. Project Workshops and gender distribution.

Topics	Number of workshops	Total participants	Number of women	Number of men
Introduction to the project	1	49	29	20
Establishment of legislative base	1	24	10	14
Inventory rules and safe PCB handling	23	423	194	229
Introduction to PCB analysis	3	47	43	4
PCB management, disposal technologies	1	65	28	37
Review of world system and discussion and design of PCB monitoring system for Kazakhstan.	1	10	8	2
Total	**30**	618	312	306

This series of workshops is part of the fulfillment of the project's 2nd Outcome that address capacity building for sound PCB management and identification of PCB sources.

C. In the area of disposal activities, the project has been successful in the completing two tender processes for the elimination of capacitors, transformers and oil from stakeholders as part of a demonstration project for disposal alternatives. Two tenders were completed and the services for management and disposal of these PCBs were awarded to hazardous waste management companies: Veolia and Polyeco. The capacitors will be sent to Veolia and PCB oils from 24 transformers to Polyeco. The

actual exporting for treatment and elimination has not been completed. There is a viable route from Kazakhstan to Veolia´s authorized waste management installations for capacitors elimination. The PCB oil that should be sent to the industrial treatment company, Polyeco, is still an issue unresolved since there has not been a transit route approved for this export. Negotiations with the different transit countries under the Basel Convention framework have been approached to identify possible and viable routes.

D. A pilot project for the logistics of collection and storage of PCBs prior to exporting to an international waste disposal facility. A tender process was completed and ASTANA NAN was selected to execute the services of national transportation and storage for preparation of exporting abroad for disposal.

The assessment of the stakeholder participation during the project implementation should be divided into areas: ministries and government agencies, private sector PCB owners, waste management, research and laboratory agencies, and NGOs.

- The Ministry of Environmental Protection (MEP) has played an important role in the formulation and approval of the PCB management regulation that was passed and the inclusion of the amendments to the Eco Code. This has been a challenging process due in part to several changes in the MEP's Project Director.

  The other ministries and government agencies have apparently been actively participants in the Project Board and in some of the activities carried out in the outlying regions.

- Within the private sector, there has been participation beginning with the initial implementation of the document, For example, Arcelor Mittal (AMT) and other PCB owners have demonstrated interest in receiving training on issues such as inventories and management guidelines. Private companies have participated in the pilot elimination projects and in the proposed interim storage facility.

- The research and laboratory agencies have also been a positive partner through their contribution with training on PCB laboratory analysis for interested parties.

4. FINDINGS AND CONCLUSIONS

4.1 Project formulation

4.1.1 Project concept/design, relevance and strategy

After having reviewed the available documentation and the interviews carried out during the mission, it can be concluded that during the project design phase a majority of the stakeholders contributed to the concept and design of the project. This was done through workshops where the project was presented and discussed.

The project is in line with the National Implementation Plan priorities that include: the completion of an updated PCB inventory, development of a phase-out and elimination plan for PCB contaminated equipment and oils, and the definition of collection and temporary storage areas for equipment that is ready for disposal.

At the government level the project is consistent with the priorities stated in the Government Intersectoral Action Plan "Zhasyl Damu – Green Growth" (2011-2013) which has different initiatives planned regarding PCBs, mercury and obsolete pesticides. The government has also planned investments to implement the activities that are part of this plan.

The project outcomes and its strategy are contributing to the Green Growth Plan and the governmental environmental program, since they will create the necessary legislative and institutional conditions for the implementing of activities that will reduce the health and environmental impacts attributable to PCBs.

When the project was originally designed there was no legislation regarding PCB management, inventory requirements and disposal obligations. These topics were address in the project design and as a result of its progress; this legislation has been proposed and approved. The national Eco Code now has an amendment that addresses PCB management requirements. In addition, the requirement to conduct PCB inventory has been included as a mandatory activity for all enterprises. A specific regulation governs the life-cycle of PCB management.

The outcomes that were developed during the design and inception phase may not be the best strategy for the implementation of a PCB management plan. In particular outcomes 3 and 4 could be difficult to complete due to an element that was not initially considered: the approval of transit permits for transporting of PCB contaminated capacitors and oils to final disposal installations in Europe. The export authorizations have been completed in accordance with the Basel Convention protocols but the neighboring countries do not allow transit of PCBs through their countries. The high concentrations of PCBs, which is normally the case for capacitors and some large transformers, need to be transported to industrial treatment/incineration installations that are presently only available abroad.

When reviewing the country ownership/ driveness aspect for this evaluation the co-financing figures for the project to date indicate that the government has already committed to approximately 91% of its planned amount as required by the project document. The other stakeholders have already committed 25% of the total amount stipulated in the project document. It is expected that this amount will increase when the export process for elimination of capacitors, transformers and oils is resolved and this alternative to disposal is made available to the PCB owners in general.

When evaluating the aspect of preparation and readiness, it is clear that the project objective and its corresponding outcomes and outputs are feasible but there may be difficulties if a viable export route for the elimination of PCB contaminated equipment and oils is not obtained during the project time frame. This is also an important consideration which may affect the project's sustainability. Although an option for the internal treatment of materials containing low concentrations of PCBs could be developed, the high concentration PCB, which is comprises the majority of the PCB presently in the country, would be left without any means of disposal.

4.1.2 Stakeholder participation

The project coordination during the project preparation phase (PPG) was successful in integrating the different relevant stakeholders through workshops where the objectives, outcomes, and outputs expected were explained. The project document was then written and the stakeholders were involved in the project presentation and in the updating of the inception report before the project were implemented.

The government entities, in particular the Ministry of Environmental Protection, have played an important role. Some of these entities participated mainly in the steering committee while others were more actively involved. From the different interviews done with government agencies such as Zhasyl Damu and KazHydromet it was clear that they are involved and contributing to the project.

From the private sector, the main stakeholder from the very beginning, although there were also other representatives from the electrical generating and distribution companies, was Arcelor Mittal. Later on in the project implementation evaluation the positive and negative aspects of such an important role given to Arcelor Mittal will be addressed.

4.1.3 Replication approach

The project outcomes and outputs are in line with most PCB projects that are being developed world wide. The most important aspects of these types of projects are the regulatory frameworks that need strengthening along with developing institutional capacities for monitoring and controlling compliance. There exists a need to develop and

implement a PCB management plan with its corresponding guidelines and technical standards. Equally important is the identification of technically viable and economically feasible disposal alternatives.

When evaluating this project it is clear that the outcomes and outputs and its logical framework can be used as an example for the replication of this type of initiative in neighboring countries.

4.1.4 Cost-effectiveness

When evaluating the project cost-effectiveness at this point in its development, reference should be made to positive results that have been obtained as part of the fulfillment of certain outcomes such as the regulation that was approved and the amendment to the Eco Code, the training for laboratory analysis at the Czech Laboratory, RECETOX, the numerous workshops for PCB awareness, and training on the safe handling of PCBs.

There are still GEF funds that will be applied to the elimination of PCBs once there is a viable export transit route for the waste to the industrial treatment facilities that were selected through the two project tenders. It is important to have this export route approved, because these initial exports will be the answer to the safe disposal that most, if not all, PCB owners are hoping for in Kazakhstan. If this is possible, then the investment of GEF funds in these pilot programs will be more than cost-effective.

4.1.5 UNDP comparative advantage

UNDP has implemented many PCB management projects in other parts of the world. The experience gained in these projects concerning risks, successes and failures, as well as unforeseen consequences has been very valuable. In Kazakhstan this knowledge is apparent and has played an important part in the positive results obtained by the current project.

4.1.6 Sustainability

The sustainability, or continued benefits after the project's end, requires the evaluation of the risks that may be affect the continuation of the projected outcomes. In this particular project, the following aspects were assessed at this midterm.

The approval of the PCB management regulation and the PCB owners' obligation to comply is an indicator that sustainability could be achieved because there will be a need to carry out proper PCB management and the inventories will have to be eliminated. A

second factor to be considered is the Ministry of Environment's ability to monitor and control compliance. It would seem that with this legislation in place, there may not be any difficulty, but as reported in the project management interview there has been a problem of continuity with the project director. The numerous changes in the Project Director have diminished any momentum the project may have generated. It is difficult to start again with a new person and have to adapt to a change in leadership. This begs the question – will the MEP develop the continuity in leadership necessary for the successful outcomes of this project?

During the evaluation, it was very clear that there is a need to develop an exit strategy that will allow MEP or a private entity the necessary control to continue monitoring compliance and insure the successful fulfillment of the Stockholm Convention objectives' with regard to phase out and elimination. KazNiec has expressed an interest in being involved as such an entity.

4.1.7 Linkages between project and other interventions within the sector

During the evaluation, a World Bank representative was interviewed with respect to an industrial incinerator project that is being planning for Kazakhstan. In many of the interviews with PCB owners and ministries, the expectation that this project would be a solution to the disposal needs for PCB oils was expressed. After the interview, it was clear that the project is still in the planning and approval stage and would not be a viable solution for this project's disposal requirements within its time frame.

4.1.8 Management arrangements

The Project Board has met regularly and discussed important project matters regarding management issues. The PB minutes are complete and demonstrate that there is participation of a majority of its members in the meetings. During the mission, representatives from the various entities comprising the PB were interviewed and their comments towards the project progress were positive and supportive of the work being done.
The Project Director has been changed many times because the responsible person in the MEP has been replaced and this has caused some difficulty in the project progress, but it has apparently been resolved each time it has occurred.

4.2 Project implementation

4.2.1 Project administration and supervision

The Project Coordinator, Amina Beibitova, has done a good job as project lead. This person has a great deal of experience in PCBs and in general with chemical substance projects were government entities are involved. During the mission through the different visits and interviews with the stakeholders there were always positive

comments about her work and her experience and how this project has benefited from her leadership.

The review of the Project Implementation Reports, Risk Management Reports, Annual Work Plan and other project documentation it is conclusive that this Project Coordinator has fulfilled her responsibilities in a very professional, effective and efficient manner.

On the project staff there is a project assistant that has done good job in keeping the budget documentation and keeping track of the co-financing planned against actual commitment figures. There are also among the staff two national experts that have played an important role in inventory, PCB management and awareness raising activities. Having reviewed the workshop participation documentation, it is clear that there have been related activities in many regions of the country. The project team decided that it was better to take the training sessions to the regions as a more cost effective method for reaching a larger group of stakeholders.

The project has also been fortunate to have been able to contract international consultants for the developing of different technical guidelines. The consultants that were hired are specialists in the field of PCB management and have an excellent track record as far as experience and practical knowledge on this topic. The documents that they produced were reviewed and are clear, practical and will be very useful for the projects' continuing training activities.

4.2.2 Planning

The annual work plans for 2010, 2011 and 2012 were reviewed. The Project Implementation Reports and Annual Project Reports were also reviewed against the work plans. The activities planned have been completed and the PIR and APR have concluded that the project is running on a good course with regard to activities. The project logical framework is being met with the expected outcomes and outputs completed as planned.

4.2.3 Financial management

The financial management is done through the Project Assistant under UNDP budgetary controls. The disbursement vs. budget, as provided by the project assistant, showed that 30.5 % of the project budget has been executed. This means that there is approximately 69.5 % left for the last year and four months. Although there are still important activities such as PCB storage at ASTANA NAN in Stepnogorsk, and the elimination of a total of approximately 120 tons in two tenders that have already been approved, the budget execution should be revised. One of the suggestions that was discussed with the project manager and will be recommended in this evaluation is that some funds from Component 3 be moved to Component 4. The reason is that some of the activities in

Component 3 will not be able to be executed due to reasons out of the project's control. See Annex 7.

The co-financing control of commitment against the project document planned is also controlled by the project assistant and the UNDP counterpart. The co-financing figures demonstrate that from the total of US$ 17,519,682 planned in the project document, a total of US$ 11,564,677 have been committed for a total of 66% completed. It is expected that with the opening of a possible export transit route there will be more PCB exports by owners and the co- financing will increase accordingly.

4.2.4 Monitoring and evaluation

After having reviewed the corresponding PIR, APR and Risk management documentation it can be concluded that the project has had an active participation of the project manager and project UNDP counterpart in completing the monitoring and evaluation activities. The results of the information in these monitoring tools indicate that the project's progress is continuing without any major drawbacks and should continue on it is course to completion.

The PIR findings in the documents reviewed were consistent with what was found in the interviews and general project appreciation during the mission.

4.2.5 Management and coordination

The project management has been diligent in the use of the monitoring tools and the information that has been given was shown to be in line with the project development. During the project progress, there was evidence that the stakeholders were involved. During the interviews with the PCB owners, there was evidence that they counted on the project to provide them with inventory information and consultation as well as other advice for PCB management and possible disposal alternatives.

The coordination with the MEP-Project Director has been good but there have many changes in the project director that do cause some problems for the project during the new adaptation process.

4.2.6 Identification and management of risks (adaptive management)

When evaluating the projects adaptive management the following considerations were made: the project design, objectives, outcomes and outputs were well prepared. There were not important changes in the environmental and development objectives during the project implementation up until this midterm evaluation. This does not exclude the possibility of their needing to be some changes made if the export transit route is not able to be opened for PCB disposal abroad.

4.3 Results

4.3.1 Attainment of outputs, outcomes and objectives

The project logical framework with its indicators for the project objective, outcomes and outputs are evaluated in Annex 4 but a descriptive evaluation will be done here. In the evaluating of the level of achievement of the project objective and outcomes the evaluation criteria: relevance, effectiveness and efficiency will be used.

There are several outcomes that are still pending to be completed because the project needs more progress in these areas. Many of the outcomes contained in the 1st and 2nd components have already been completed or are close to be being completed. These are the regulations and the Eco Code amendment. As indicated in table 2 there are outcomes, like the amount of PCBs to be disposed of that are pending the approval of an export route. The realization of these outcomes is really something that the project administration is working very hard on negotiating but it may become difficult to achieve.

The outcomes that involve capacity building in the generating of guidelines and training have been well executed and deserve to be evaluated positively.

PROJECT MID TERM EVALUATION RATING TABLE.

STATUS OF OBJECTIVE/OUTCOME DELIVERY AS PER MEASURABLE INDICATORS.

OBJECTIVE	MEASURABLE INDICATORS FROM PROJECT LOGFRAME	END-OF-PROJECT TARGET	STATUS OF DELIVERY*	RATING**
Objective : To enhance the capacity for safe management of PCB oil and PCB-containing equipment at all stages of the PCB management cycle in Kazakhstan	Clear regulation anchored scheme for PCB management with identified roles and deadlines in Kazakhstan established.	1. Environmental Code amendment and technical specifications adopted. And integrated by environmental authorities. 2. Clear PCB reporting and enforcement set up nationally. PCB holder submitted management plans integrated in environmental inspections.	1. Completed - regulation in place and Eco Code amendment established. 2. Partially completed since the regulation sets up the reporting but the enforcement is just getting started. Some of the management plans have been presented.	Highly Satisfactory Marginally satisfactory
	Site and regional based PCB disposal systems developed and demonstrated from planning to disposal.	1. One major PCB capacitors and one major PCB transformer site management demonstrated from planning to disposal. Resulting in 1,400	1. This target has yet to be obtained although the two tenders for capacitor and transformer disposal have been completed. They still have the export transit route for sending abroad to disposal.	Marginally satisfactory

		tons PCB waste processed. 2. Regionally based PCB col-lection/disposal scheme in place with 200 tons PCB waste processed.	The idea of a regional collection disposal scheme was changed to one collection-storage location, ASTANA NAN. There has not been any waste sent there yet but the conditions are almost ready.	Marginally Satisfatory
Outcome 1: Regulatory and administrative strengthening for sound PCB management	1. Proposed changes in Environmental Code and changes in associated laws finalized.	1. Fully consulted proposal submitted 1 year.	Completed	Highly satisfactory
	2. Changes ensuring safe PCB management in Env. Code adopted.	2. Legislation adopted within 2 years.	Completed	Highly satisfactory
	3. Development of technical guidance implementing PCB regulative framework.	3. 5 guidance documents covering various stages and stakeholders of PCB life-cycle	Completed by international consultants and used training workshops	Highly satisfactory
	4. Development and adoption of PCB environ-	4.Specific quality guidelines developed covering abiotic	There was no evidence of this outcome having been completed.	Marginally unsatisfactory

	mental and food quality guidelines.	environment and food		
Outcome 2: Capacity building for sound PCB management, identification of additional PCB sources	1. Number of PCB holder management plans developed.	1. All PCB holding companies submit management plans.	There was evidence of a few management plans having been presented. The project has helped the companies in the elaboration of their plans and more are expected to be presented soon.	Satisfactory
	2. Number of PCB holder replacement plans developed.	2. 20 plans during 3 first years of project	This has not yet been achieved.	Marginally Satisfactory
	3. Number of new approaches for PCB data collection initiated. (Separate investigation for Min. of Defense, collection through Ministry of industries channels,	3. 100 additional companies surveyed. Complete PCB data from Ministry of defense.	The Ministry of Defense has problems in authorizing outsiders to do the PCB inventory in their installations. The Ministry of Defense will have to do their own inventory, which may take some time.	Marginally Satisfactory

	reward system)			
Outcome 3: Replacement, setting-up safe dismantling of 850 tons of PCB transformers and their safe disposal	1. Company phase out plans developed.	1.106 PCB transformer	This outcome has yet to be fulfilled in the amount of PCBs to be phased out. The companies are still working on the developing of their phase out plans which depend also on the feasibility to export for disposal.	Marginally satisfactory
	2. Safe workshop and storage assigned up dated for PCB dismantling and storage.	2(a). Safe transformer storage facility establi-shed within second year of project. 2(b). Disconnection and dismantling personnel fully trained for safe PCB handling	This has been practically completed with the establishment of the collection and storage facilities at ASTANA NAN. These facilities are still being prepared and have not yet received any equipment. This has yet to be completed. The companies that have won the elimination tenders will be providing training in these aspects as part of their field services responsibilities. There are also guidelines that have been prepared by the International experts in this field. In company training is still pending.	Satisfactory Satisfactory
	3. Number of PCB contaminated transformers drained and dismantled.	3. 30 transformers phased-out and replaced within 36 months of project implementation. Replacement plan for all transformers accepted by end year 4.	This has yet to be completed. Tender has been completed For disposal of transformer's oil. There is still pending the AMT phase out programs that are part of the AMT PCB management plan that is being developed.	Marginally satisfactory
	4. Tons of PCB contaminated oil and associated	4. Target: 850 tons of PCB waste safely disposed.	Not yet completed. It has serious problems until there is a viable Export transit route and Basel Convention Movement approval to send contaminated equipment to industrial	Marginally satisfactory

	waste disposed through exports		treatment facilities. Negotiations are underway to open transit through Russia but this is still not a defined possibility.	
Outcome 4: Regionally organized secure storages and disposal of PCB capacitors	1. Storage manned with professional workers	1. All storage personnel under-gone safe handling, fire, spill containment training.	Storage personnel at ASTANA NAN will receive training from the international waste management company upon collection and temporary storage for export. This has yet to be done .	Marginally satisfactory
	2.System of storages operational	2. PCB waste received within 36 months of project inception	Pending due to not having a viable export route yet defined.	Marginally satisfactory
	3. Disposal of regionally collected PCB containing equipment and waste.	3. 200 tons of PCB equipment and waste disposed.	Not yet completed and has a High risk due to export route.	Marginally unsatisfactory.
	4. Tons of PCB capacitors disposed from Darial-U site	4. All Darial-U capacitors disposed by end year 4.	Half of the capacitors were removed before the start of the project and it is not in the project's power to remove the remaining part	Satisfactory

Status of delivery colouring codes:

Green / completed – indicator shows successful achievement.

Yellow – indicator shows expected completion by the end of the project.

Red – Indicator show poor achievement - unlikely to be complete by end of Project.

4.3.2 Project Impact

The project has obtained many results, like the approval and implementation of a PCB regulation, which will produce a positive impact on the reduction of PCB contamination in the environment. The public awareness raising efforts and the new regulation for the implementing of environmentally sound management practices for PCBs also resulted in positive impacts.

4.3.3 Prospects of sustainability

The sustainability of this project once the GEF funding has ended will depend on one or more of the following aspects:

- The MEP will have to create an office or department that will be in charge of monitoring and controlling compliance of the approved regulations or that a government agency, like Zhasyl Damu will take over the monitoring and control of compliance.
- There will need to be a viable disposal alternative for the elimination of PCB equipment. The exporting of contaminated equipment is an alternative but it is still not totally approved and could be a risk towards the project sustainability if it is not resolved.
- There needs to be an exit strategy developed before the project ends to improve the sustainability aspects.

The evaluation criteria that best rate this aspect would be moderately satisfactory, where at least some of the outcomes are expected to be sustained.

5. LESSONS LEARNED

One of the questions that were asked during the interviews was the lessons learned from the project progress up until now. The following are some of the lessons that the stakeholders expressed and some that the evaluation team has determined.

Lesson 1. The inventories used to formulate the National Implementation plans with their PCB action plans that are in turned used to design the project document, are in many cases estimates and not actual verifiable data. The information used in the project design can sometimes be overestimated as to what the project can really achieve in PCB disposal. The estimated disposal amounts should be more conservative.

Lesson 2. From the time that the project document was prepared and the project was started a large amount of time passed. The pricing that was used to estimate the cost of equipment and oil elimination was much lower than what the price was when the two tenders were opened for elimination proposals.

Lesson 3. The National Project Director in the MEP has changed 3 times and although the support from this institution has not changed there has been a negative impact on the project progress. The hazardous waste department leadership also changes although the technicians don't usually change. The working relationship with the technicians, should be strengthened so that institutional changes will not affect the project progress.

Lesson 4. For PCB projects there should always be a regulation for PCB management in place from the beginning of its execution. It is difficult to have companies commit to proper management specially if there are costs involved, unless they are made to do so via regulation. The PCB owners are slow to comply with their responsibility to do inventories, prepare management plans and program phase out and elimination unless there is a regulation that makes it an obligation. This project was fortunate to have this regulation passed in this first project mid term.

Lesson 5. If there is a need to update originally estimated inventories the national analytical capacity should be enhanced from the start of the project so that PCB owners can have the opportunity to identify their PCB contaminated equipment and oils. Many times this capacity is improved later on in the project and this delays the completion of the PCB inventories.

Lesson 6. The interaction among government authorities is a very important part of the project success. The issue of PCB contaminated equipment and oils involves many different ministries and government agencies; only through an integrated approach can most of the issues be brought into perspective and planned. The project work plan should be shared and suggestions received on how to make improvement to achieve more efficient and effective results.

Lesson 7. In a country as large as Kazakhstan with so many different regions, the PCB issues may be different in each one. When planning training workshops, it is important to

go to the regions, as this project did, which provided for the broader participation and more people that are technicians actively involved in the topic could attend then. If the workshop is done in the capital city many times the people who attend are not the ones directly involved and the information or knowledge is not passed on therefore there is no positive feedback to the project.

Lesson 8. The level of public awareness to the PCB issues was addressed from the very start of the project and helped to have the potential PCB owners committed to the project. This has been a positive aspect that this project has been able to achieve.

Lesson 9. The role of the MEP, government involvement and promotion of the new legislation has been vital in the achievement of the regulation approval and the inclusion of the POPs management amendment in the Eco Code.

Lesson 10. Regional environmental authorities needed to be trained on PCB management so that they can reproduce the knowledge among the companies that are in their territories and be able to support their compliance activities.

Lesson 11. An improvement of national legislation for chemical management not only for POPs and PCBs is needed. There should be a more integrated hazardous waste management approach to the problem.

Lesson 12. The selection of Arcelor Mittal as a recipient of project funding for the disposal of 60 tons of PCB has raised concern among other stakeholders. AMT is planning to replace and dispose of PCB transformers, but there is a risk that these plans will not be materialized and within the remaining project period, 2013-2014 only 21 transformers will be eliminated.

Lesson 13. When the project was designed the limitations to export through transit countries to reach the sea transport was not known. This should have been investigated before the design was completed to be able to address alternative actions for low and high concentration PCBs. {Has been moved from recommendations, as it just states the fact, does not give a recommendation for the project what to do.}

6. CONCLUSIONS AND RECOMMENDATIONS

The conclusions and recommendations that will be discussed in this midterm evaluation (MTE) are the result of the review of all project documents, PIR, APR, AWP, Risk Management document, Project Board minutes, project document, inception report and logical framework, as well as the information collection from a total of 22 interviews held during the mission to Kazakhstan. (See annex 3 contact list and Annex 4 field visit report.

The project design was well elaborated and the proposed objective, outcomes and outputs are in line with the national sectoral and development priorities.

Project management has been done in a satisfactory manner fulfilling all of the UNDP project guidelines and the utilization of monitoring and evaluation instruments: APR and PIR as well as the use of a risk management evaluation periodically.

The co-financing commitment has been positive with 66% of the total USD$ 17,519,677 received and the remaining USD$ 1,590,450 will most likely be committed during the year 2013. Once again the opening of an export possibility for other companies to send their PCB contaminated equipment and oils to disposal will also result in an increase of the co-financing probably more than was originally committed.

Outcome 1 and its outputs have been completed with the regulation approved and in implementation stage and the Eco Code has been amended for POPs management.

Outcome 2 and its outputs will be completed with the regulation since there is an obligation to present PCB management plans with phase out and disposal programming. A total of 20 management plans have been presented, 1 has been approved and 7 are in the process of being completed.

Outcome 3. Under this component 60 tons of oils will be eliminated from 24 transformers that belong to Arcelor Mittal. This is still pending the approval of an export transit route.

The funds that were not able to be used for different reasons in this component should be requested to GEF to transfer to outcome 4 so that more equipment and oils can be eliminated.

Outcome 4. The regional storage facilities were not able to be established because the MEP did not approve this action. Instead, the project management proposed a tender to establish one storage center for collection and preparation for export of equipment that will be removed with both the tenders that have been awarded. The ASTANA NAN facility in Stepnogorsk was visited by the evaluating team and the storage conditions and planned activities are well in line with the proper PCB management guidelines.

The amount of PCBs that will be able to be eliminated within the project framework will be much less than what was originally estimated with the amount of funds available.

A total of 64 tons of capacitors will be eliminated from several PCB owners during this outcome's development. The one main problem, that has been repeated for Outcome 3 is the non-existence to this date of an approved export transit route for the waste to reach the industrial treatment center in Europe. MEP together with the project manager has planned a trip to Russia to negotiate with the environmental authorities to allow the transit through this country. The initial response from Russia has been negative, but MEP will do one last try to convince the Russian authorities. This definitely poses a large risk on the project progress. There seems to be a possibility that the capacitors will be allowed to be transported because they are a closed container that has the oil inside. The transformers are different issue since the Basel Convention guidelines require that the oils be drained and transported separate of the transformer and this is not accepted by the Russian authorities.

RECOMMENDATIONS

Recommendation 1. The project team should work with the PCB owners to help them complete their plans within the project time line. If they have their PCB management plans in place and there is monitoring and control done by the MEP or any other agency assigned this responsibility, the project sustainability will be more likely to be obtained.

Recommendation 2. From the very start of the project an exit strategy needs to be developed so that the mechanisms and structures are created during the project implementation to guarantee the end of funding sustainability. It is important that the project sustainability be guaranteed because the national obligations under Stockholm Convention go until 2025 and 2028. The elimination process is slow and should be continuous up to the elimination of all of the Kazakhstan's PCBs.

Recommendation 3. Technical standards should be defined before the inventory is started so that the companies are aware of what they are expected to evaluate.

Recommendation 4. The budget monitoring has been satisfactory but there is a need to increase the amount being utilized in the project (30.5%) in order to meet a 100% execution mark by the end of the project in December of 2014.

Recommendation 5. It is recommended to take the component on disposal of Daryal-U capacitors out of the project document, as half of them were taken for disposal before the start of the project, and the remaining half is not in the competency of the project being under responsibility of the government.

Recommendation 6. PCB issues should be included in high level education, university levels, to prevent future impacts and a level of awareness among the new professionals.

Recommendation 7. The new regulation approved was not clear in the storage control aspects and standards. There exists a lack of clearness as to who will control and monitor

the activity and how it should be reported. This should be addressed with the MEP by the project manager to clarify it to the stakeholders.

Recommendation 8. An alternative to the exporting of contaminated equipment and oils would be to treat locally the low concentration PCBs using a service provider with anyone of the available technologies such as dechlorination and transformer decontamination. This would need to be defined once more inventory information is available.

Recommendation 9. The disadvantage of the ASTANA NAN interim storage facility location is that it is very far north in the country and the distances for transporting of contaminated equipment and oils are large. It is this evaluating team's suggestion that another storage facility be established in the southern part of the country.

Recommendation 10. If there is no viable transit route for PCB elimination under outcome 3, MEP, project management and UNDP should address the GEF about this situation and evaluate alternative actions.

Recommendation 11. The MEP will need to respond to the necessary notifications required by the Basel Convention Transfrontier Movement (TFS) once the project is completed and the elimination process continues.

Recommendation 12. Analytical laboratories in the country need to be accredited. Laboratories identified are capable of meeting the project requirements should receive the requisite PCB parameters, along with continuing technical assistance on field samples and analytical standards. Once accredited, these labs can offer their analytical services to the public.

Recommendation 13. Funds from component 3 should be considered to be transferred to **Outcome 4**, in order to increase the amount of equipment and oils that can be eliminated.

ANNEXES

Annex 1

Terms of Reference

for conducting of Mid-Term Evaluation of the UNDP/GEF Project **"Design and Execution of a Comprehensive PCB Management Plan for Kazakhstan"**

PIMS Project number: 3477

Short project title: PCB management project

Project Atlas number: 00071180

Duty Station: home-based with one monitoring mission to Kazakhstan

I. INTRODUCTION

This Mid-Term Evaluation is initiated by UNDP Kazakhstan as the Implementation Agency for this project and it aims to provide managers, executors (at the Project Implementation Unit, UNDP Kazakhstan Country Office and UNDP/GEF levels) with strategy and policy options for more effectively and efficiently achieving the project's expected results and for their replication. It also provides the basis for learning and accountability for managers and stakeholders.

This evaluation is to be undertaken taking into consideration the GEF Monitoring and Evaluation policy:http://thegef.org/MonitoringandEvaluation/MEPoliciesProcedures/mepoliciesprocedures.html and the UNDP/GEF Monitoring and Evaluation Policy: http://www.undp.org/gef/05/monitoring/policies.html

The Monitoring and Evaluation (M&E) policy at the project level in UNDP/GEF has four objectives:

(i) to monitor and evaluate results and impacts;

(ii) to provide a basis for decision making on necessary amendments and improvements;

(iii) to promote accountability for resource use; and

(iv) to document, provide feedback on, and disseminate lessons learned.

To ensure effective project Monitoring and Evaluation a combination of tools should be used. These might be applied continuously throughout the lifetime of the project, for example periodic monitoring of indicators, PIRs, or as specific time-bound exercises such as mid-term review, audit reports and independent evaluations.

In accordance with the UNDP/GEF Monitoring and Evaluation Policy and Procedures the mid-term evaluation is recommended for all the projects with a long term of implementation (e.g. exceeding 5-6 years). In addition to the fact that said evaluation enables to gain an independent deep view of the progress attained, such assessment meets GEF Council decisions in respect of transparency and improvement of access to information at the stage of implementation. Mid-term evaluations are intended to identify potential project design problems, assess progress towards the achievement of objective, identify and document lessons learned (including lessons that might improve design and implementation of other UNDP/GEF projects), and to make recommendations regarding specific actions that might be taken to improve the project.

The mid-term evaluation enables to assess the primary signs of the project success or failure and identify the necessary changes to be made. The evaluation shall be performed by an independent expert unrelated to the project development or implementation.

The evaluation will play a critical role in the future implementation of the project by providing advice on: (i) how to strengthen the adaptive management and monitoring function of the project; (ii) how to ensure accountability for the achievement of the GEF objective; (iii) how to enhance organizational and development learning; (iv) how to enable informed decision – making.

The evaluation will have to provide to the GEF Secretariat complete and convincing evidence to support its findings/ratings. The consultant should prepare specific ratings on several aspects of the project, as described in the 'Scope of Evaluation' section of these Terms of Reference. Particular emphasis should be put on the current project results and the possibility of achieving the objective and outcomes in the established timeframe, taking into consideration the speed, at which the project is proceeding.

II. PROJECT OVERVIEW

This GEF-funded five-year project started in February 2010 and is expected to be completed in December 2014. The Project Team consists of a Project Manager, a Transportation & Logistics Expert, a Capacity Development Specialist and a Project Assistant, as well as national and international consultants. The total project budget is US$3 300 000. GEF financing amounts to US$ 3 300 000 and UNDP financing to US$ 15 000. The implementing agency for the project is the Ministry of Environmental Protection of the Republic of Kazakhstan (RoK).

Kazakhstan is committed to safe management of PCB as demonstrated by signature of the Stockholm Convention and its subsequent ratification on 7 June 2007 and inclusions in the list of parties to the Convention on 9 November 2007. The aim of the project is to implement a comprehensive PCB management plan for Kazakhstan. The overall objective is to ensure minimization of PCB releases and subsequent health and environmental impacts through systematic capacity development for sound PCB management in the country. The activities consist of:

(1) regulatory and administrative institution strengthening;

(2) capacity building for sound PCB management, identification of additional PCB sources;

(3) replacement, setting-up safe dismantling of 850 tons of PCB transformers and their safe disposal;

(4) regionally organized secure storages and disposal of PCB capacitors; and

(5) monitoring, learning, adaptive feedback, outreach and evaluation.

1.2 Project Beneficiaries

Apart from the global environmental benefits, the final beneficiaries of the project will obviously be the people of Kazakhstan and their environment. A more direct beneficiary is the Ministry of Environmental Protection, which will get access to technical and managerial support for preparing POPs legislation and to develop educational and information material on PCBs as well as their dissemination. The environmental inspectors and customs officials will benefit from increased professional competence from the training activities.

Other major beneficiaries are private sector entities with hazardous waste, PCBs, in their possession. Though they will be required to dispose the PCB they will be given an affordable option of disposing the waste. All private sector partners are expected to gain technical capacity thanks to the project.

III. MID-TERM EVALUATION OBJECTIVES

The MTE is initiated by UNDP Country Office in Kazakhstan in line with the UNDP-GEF M&E guidelines in order to assess the overall project progress, make sure the project is on track to deliver the agreed outcomes, and produce recommendations on any adjustments needed.

The mid-term evaluation is part of a comprehensive project assessment and enables stakeholders to make an evaluation of administrative and technical activities and strategies, problems and restrictions associated with the large-scale international and multilateral initiatives. The evaluation shall also provide the recommendations in relation to the strategies, approaches and/or activities in order to enhance the project capacities of achieving the expected outcomes. The evaluation results will be incorporated in the recommendations to improve the implementation of the project activities in the forthcoming period.

Aim:

(i) To evaluate the overall project activities for project implementation in relation to the project objectives and expected outcomes and indicators as stated in the project document and the other related documents;

(ii) To evaluate project effectiveness and cost-efficiency at the mid-term point, including assessing the level of co-financing;

(iii) To critically analyze the project management and implementation arrangements;

(iv) To evaluate the progress attained so far in relation to achievement of project outcomes;

(v) To review the strategies and plans intended for the timely achievement of the overall project goal within its timeframe;

(vi) To document and analyze initial lessons learnt in respect of the project design, its implementation and management; and especially related to the implementation of landscape level conservation planning;

(vii) To assess the sustainability of project interventions;

(viii) To assess the relevance in relation to the national priorities;

(ix) To provide guidance for future project activities and, if necessary, for the implementation and management arrangements.

In particular, the mid-term evaluation exercise will assess the progress of the basic project objective, alleviation of threats and will identify any constraints to the project implementation and their causes. The evaluation intends to also provide the recommendations for corrective measures to be undertaken. The effective measures to correct the problem areas identified should be provided by the evaluation. These effective measures will be required before the decision to be made in relation to the project continuation further.

The project effectiveness will be measured based on the indicators of the project's logical framework matrix (see Annex 3), which provides clear performance and impact indicators for project implementation along with their corresponding means of verification. Success and failure will be determined in part by monitoring changes in baseline conditions. The mid-term evaluation report shall be a separate document which will contain the recommendations, conclusions and lessons learnt.

Recommendations of the evaluation should also include the following gender-related criteria:

- Are women and men involved into project activity equally?
- Is the project maintaining a positive gender equality situation in improving national financing of Global Environmental Management, and in sound chemicals management in particular, in Kazakhstan?
- Is the project enhancing visibility and awareness of gender-related issues in Environmental Management, and in sound chemicals management in particular, in Kazakhstan?
- Will the project benefit women and men equally?

The evaluation team is expected to work with key project stakeholders, including UNDP Country Office in Kazakhstan, the Ministry of Environmental Protection, other Ministries, laboratories and institutes, PCB owners, utility companies, NGOs, etc.

The report will be intended to meet the needs of all the related parties (GEF, UNDP, the national executing agency, the project's National Steering Committee, local communities and other related parties in Kazakhstan and foreign countries).

IV. SCOPE OF EVALUATION

The evaluation will focus on the range of aspects described below. In addition to a descriptive assessment, all criteria marked with (R) should be rated using the following divisions: *Highly Satisfactory, Satisfactory, Marginally Satisfactory, Marginally Unsatisfactory, Unsatisfactory, Highly Unsatisfactory*. All ratings given should be properly substantiated:

1. Project concept/design, relevance and strategy

1.1 Project relevance, country ownership/drivenness (R): the extent to which the project is suited to local and national development priorities and organizational policies, including changes over time as well as the extent the activities contribute towards attainment of global environmental benefits:

a. Is the project concept in line with the sectoral and development priorities and plans of the country, including MDGs?
b. Are project outcomes contributing to national development priorities and plans?
c. How and why project outcomes and strategies contribute to the achievement of the expected results.?
d. Examine their relevance and whether they provide the most effective way towards results.
e. Do the outcomes developed during the inception phase still represent the best project strategy for achieving the project objectives (in light of updated underlying factors)? Consider alternatives.
f. Were the relevant country representatives, from government and civil society, involved in the project preparation?
g. Does the recipient government and other stakeholders maintain their financial commitment to the project? Has the government approved policies or regulatory frameworks in line with the project's objectives?

1.2 Preparation and readiness:

a. Are the project's objective and components clear, practicable and feasible within its timeframe?

b. Were the capacities of executing institution and counterparts properly considered when the project was designed?
c. Were lessons from other relevant projects properly incorporated in the project design?
d. Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project approval?
e. Were counterpart resources (funding, staff, and facilities), enabling legislation, and adequate project management arrangements in place at project entry?

1.3 Stakeholder involvement (R):

a. Did the project involve the relevant stakeholders through information-sharing, consultation and by seeking their participation in the project's design?
b. Did the project consult and make use of the skills, experience and knowledge of the appropriate government entities, NGOs, community groups (including women's groups), private sector, local governments and academic institutions in the design of project activities?

1.4 Underlying factors/assumptions:

a. Assess the underlying factors beyond the project's immediate control that influence outcomes and results. Consider the appropriateness and effectiveness of the project's management strategies for these factors.
b. Re-test the assumptions made by the project management and identify new assumptions that should be made.
c. Assess the effect of any incorrect assumptions made by the project.

1.5 Management arrangements (R):

a. Were the project roles properly assigned during the project design?
b. Are the project roles in line with UNDP and GEF programming guidelines?
c. Can the management arrangement model suggested by the project be considered as an optimum model? If no, please come up with suggestions and recommendations.

1.6 Project budget and duration (R):

a. Assess if the project budget and duration were planned in a cost-effective way?

1.7 Design of project M&E system (R):

a. Examine whether or not the project has a sound M&E plan to monitor results and track progress towards achieving project objectives.
b. Examine whether or not the M&E plan includes a baseline (including data, methodology, etc.), SMART indicators and data analysis systems, and evaluation studies at specific times to assess results and adequate funding for M&E activities.
c. Examine whether or not the time frame for various M&E activities and standards for outputs are specified.

1.8 Sustainability:

a. Assess if project sustainability strategy was developed during the project design?
b. Assess the relevance of project sustainability strategy

2. Project implementation

2.1 Project's adaptive management (R):

a. Monitoring systems
- Assess the monitoring tools currently being used:
  - Do they provide the necessary information?
  - Do they involve key partners?
  - Are they efficient?
  - Are additional tools required?
- Assess the use of the logical framework as a management tool during implementation and any changes made to it.
- What impact did the retro-fitting of impact indicators have on project management, if such?
- Assess whether or not M&E system facilitates timely tracking of progress towards project's objectives by collecting information on chosen indicators continually; annual project reports are complete, accurate and with well justified ratings; the information provided by the M&E system is used to improve project performance and to adapt to changing needs.

b. Risk Management
- Validate whether the risks identified in the project document and PIRs are the most important and whether the risk ratings applied are appropriate. If not, explain why.
- Describe any additional risks identified and suggest risk ratings and possible risk management strategies to be adopted.
- Assess the project's risk identification and management systems:
  - Is the UNDP-GEF Risk Management System appropriately applied?
  - How can the UNDP-GEF Risk Management System be used to strengthen the project management?

c. Work Planning
- Assess the use of routinely updated work plans.
- Assess the use of electronic information technologies to support implementation, participation and monitoring, as well as other project activities.
- Are work planning processes result-based? If not, suggest ways to re-orientate work planning.

d. Financial management
- Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions. (Cost-effectiveness: the extent to which results have been delivered with the least costly resources possible.). Any irregularities must be noted.
- Is there due diligence in the management of funds and financial audits?
- Did promised co-financing materialize (please fill out the co-financing form provided in Annex 1)?

e. Reporting
- Assess how adaptive management changes have been reported by the project management.
- Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.

f. Delays
- Assess if there were delays in project implementation and what were the reasons.

- Did the delay affect the achievement of project's outcomes and/or sustainability, and if it did then in what ways and through what causal linkages?

2.2 Contribution of Implementing and Executing Agencies:

a. Assess the role of UNDP and the Ministry of Environmental Protection of the RoK against the requirements set out in the UNDP Programme and Operations Policies and Procedures. Consider:
   - Participation in Steering Committees
   - Project reviews, PIR preparation and follow-up
   - GEF guidance
   - Operational support

b. Consider UNDP requirements outlined in the UNDP Programme and Operations Policies and Procedures, especially the Project Assurance role, and ensure they are incorporated into the project's adaptive management framework.

c. Assess the contribution to the project from UNDP and assistance from the Ministry of Environmental Protection of the RoK (i.e. policy advice & dialogue, advocacy, and coordination).

d. Suggest measures to strengthen UNDP's soft assistance to the project management.

2.3 Stakeholder participation, partnership strategy (R):

a. Assess whether or not and how local stakeholders participate in project management and decision-making. Include an analysis of the strengths and weaknesses of the approach adopted by the project and suggestions for improvement if necessary.

b. Does the project consult and make use of the skills, experience and knowledge of the appropriate government entities, NGOs, community groups, private sector, local governments and academic institutions in the implementation and evaluation of project activities?

c. Consider the dissemination of project information to partners and stakeholders and if necessary suggest more appropriate mechanisms.

d. Identify opportunities for stronger partnerships.

2.4 Sustainability:

a. Assess the extent to which the benefits of the project will continue, within or outside the project scope, after it has come to an end; commitment of the government to support the initiative beyond the project.

b. The evaluators may look at factors such as mainstreaming project objectives into the broader development policies and sectoral plans and economies.

The sustainability assessment will give special attention to analysis of the risks that are likely to affect the persistence of project outcomes. The sustainability assessment should also explain how other important contextual factors that are not outcomes of the project will affect sustainability. The following four dimensions or aspects of sustainability will be addressed:

- *Financial resources:* Are there any financial risks that may jeopardize sustenance of project outcomes? What is the likelihood of financial and economic resources not being available once the GEF assistance ends (resources can be from multiple sources, such as the public and private sectors, income generating activities, and trends that may indicate

that it is likely that in future there will be adequate financial resources for sustaining project's outcomes)?

- *Socio-political:* Are there any social or political risks that may jeopardize sustenance of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project?
- *Institutional framework and governance:* Do the legal frameworks, policies and governance structures and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems for accountability and transparency, and the required technical know-how are in place.
- *Environmental:* Are there any environmental risks that may jeopardize sustenance of project outcomes? The terminal evaluation should assess whether certain activities will pose a threat to the sustainability of the project outcomes.

On each of the dimensions of sustainability of the project outcomes will be rated as follows:

- *Likely (L):* There are no or negligible risks that affect this dimension of sustainability.
- *Moderately Likely (ML):* There are moderate risks that affect this dimension of sustainability.
- *Moderately Unlikely (MU):* There are significant risks that affect this dimension of sustainability
- *Unlikely (U):* There are severe risks that affect this dimension of sustainability.

3. Project results (outputs, outcomes and objectives)

3.1 Progress towards achievement of intended outputs, outcomes/measurement of change:

Progress towards results should be based on a comparison of indicators before and after (so far) the project intervention.

To determine the level of achievement of project outcomes and objectives following three criteria should be assessed:

- *Relevance:* Are the project's outcomes consistent with the focal areas/operational program strategies and country priorities?
- *Effectiveness:* Are the actual project outcomes commensurate with the original or modified project objectives? In case the original or modified expected results are merely outputs/inputs then the evaluators should assess if there are any real outcomes of the project and if yes then whether these are commensurate with the realistic expectations from such a project.
- *Efficiency:* Is the project cost effective? Is the project the least cost option? Is the project implementation delayed and if it is, then does that affect cost-effectiveness? Wherever possible, the evaluator should also compare the cost-time vs. outcomes relationship of the project with that of other similar projects.

Outcomes and the whole project should be rated as follows for relevance, effectiveness, efficiency (see Annex 4):

- *Highly Satisfactory (HS):* The project has no shortcomings in the achievement of its objectives.
- *Satisfactory (S):* The project has minor shortcomings in the achievement of its objectives.
- *Marginally Satisfactory (MS):* The project has moderate shortcomings in the achievement of its objectives.

- *Marginally Unsatisfactory (MU):* The project has significant shortcomings in the achievement of its objectives.
- *Unsatisfactory (U):* The project has major shortcomings in the achievement of its objectives.
- *Highly Unsatisfactory (HU):* The project has severe shortcomings in the achievement of its objectives.

V. EVALUATION DELIVERABLES

The core product of the Mid-Term Evaluation will be the Mid-Term Evaluation Report that includes:

- Findings with the rating on performance;
- Conclusions drawn;
- Recommendations for improving delivery of project outputs;
- Lessons learned concerning best and worst practices in producing outputs;
- A rating on progress towards outputs.

The report is proposed to adhere to the following basic structure:

1. Executive summary
   - Brief description of project
   - Context and purpose of the evaluation
   - Main conclusions, recommendations and lessons learnt
2. Introduction
   - Project background
   - Purpose of the evaluation
   - Key issues to be addressed
   - The outputs of the evaluation and how will they be used
   - Methodology of the evaluation
   - Structure of the evaluation
3. The project and its development context
   - Project start and its duration
   - Implementation status
   - Problems that the project seeks to address
   - Immediate and development objectives of the project
   - Main stakeholders
   - Results expected
   - Analysis of the situation with regard to outcomes, outputs and partnership strategy
4. Findings and Conclusions

   4.1 Project formulation
   - Project relevance
   - Implementation approach
   - Country ownership/Driveness
   - Stakeholder participation
   - Replication approach
   - Cost-effectiveness
   - UNDP comparative advantage
   - Sustainability
   - Linkages between project and other interventions within the sector
   - Management arrangements

   4.2 Project implementation

- Project administration and supervision
- Planning
- Financial management
- Monitoring and evaluation
- Management and coordination
- Identification and management of risks (adaptive management)
- Coordination

4.3 Results

- Attainment of outputs, outcomes and objectives
- Project Impact
- Prospects of sustainability

5. Conclusions and recommendations
   - Findings
   - Corrective actions for the design, duration, implementation, monitoring and evaluation of the project
   - Actions to strengthen or reinforce benefits from the project
   - Proposals for future directions underlining main objectives
   - Suggestions for strengthening ownership, management of potential risks
6. Lessons learned (at least 5 pages of very clear analysis of lessons learnt)
   - Good practices and lessons learnt in addressing issues relating to effectiveness, efficiency and relevance
7. Annexes
   - Evaluation TOR
   - Itinerary
   - List of persons interviewed
   - Summary of field visits
   - List of documents reviewed
   - Questionnaire used (if any) and summary of results
   - Comments by stakeholders (only in case of discrepancies with evaluation findings and conclusions)
   - Evaluation rating tables

The Report will be supplemented by Rate Tables, attached in Annex 4 of this TOR

The Report will include a table of planned vs. actual project financial disbursements, and planned co-financing vs. actual co-financing in this project, according the table attached in Annex 1 of this TOR.

The expected length of the report is around 50 pages in total. The first draft of the report is expected to be submitted to the UNDP Country Office in Kazakhstan within 2 weeks of the in-country mission for subsequent circulation to the key project stakeholders for comments. Any discrepancies between the interpretations and findings of the evaluator and the key project stakeholders will be explained in an annex to the final report. The final report will be prepared on the basis of the comments obtained from relevant parties. The final version of the evaluation report should be submitted in electronic format (MS Word) to UNDP Country Office in Kazakhstan no later than November 30, 2012.

The report should be submitted to UNDP Country Office in Kazakhstan (to the attention of Ms. Emilia Wahlstrom, Program Analyst, mailing address: 26 Bokeykhan St., Astana; Tel.: +7(7172) 59-25-50).

If any discrepancies have emerged between impressions and findings of the evaluator, these should be explained in an annex attached to the final report.

VI. METHODOLOGY

An outline of an evaluation approach is provided below; however it should be made clear that the evaluation team is responsible for revising the approach as necessary. Any changes should be in-line with international criteria and professional norms and standards (as adopted by the UN Evaluation Group). They must be also cleared by UNDP before being applied by the evaluation team.

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

Evaluators should seek guidance for their work in the following materials, which could be found at (www.undp.org/gef):

- UNDP Handbook on Monitoring and Evaluation for Results
- UNDP/GEF M&E Resource Kit

It is recommended that the evaluation methodology include the following:

- Documentation review (desk study), to include Project Document, GEF Project Implementation Reviews, Minutes of the Project Steering Committee meetings, GEF quarterly project updates;
- Interviews with Project Management Unit and key project stakeholders, including UNDP Country Office in Kazakhstan, GEF Regional Coordination Unit in Bratislava, the Ministry of Environmental Protection of the RoK, and other stakeholders, as necessary;
- In-country field visits, if necessary.

VII. EVALUATION TEAM

The evaluation will be undertaken by a team composed of an *International Consultant (Team Leader)* and a *Local Consultant*. They will receive the support of UNDP Country Office and Project Management Team, and will be assisted by a translator/interpreter (when needed).
The evaluators selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities.

The *International Consultant - Team Leader* will be responsible to deliver the expected output of the mission. Specifically, he/she will perform the following tasks:

- Lead and manage the evaluation mission;
- Design the detailed evaluation methodology and plan (including the methods for data collection and analysis;
- Conduct desk-reviews and interviews in order to obtain objective and verifiable data to substantive evaluation ratings and assessments, including:
    - Assessment of Annual Plan implementation;
    - Assessment of the developed regulatory and institutional environment for PCB management;

  - Assessment of capacity development activities and the inventory/monitoring process;
  - Assessment of the pilot project on replacement, dismantling and disposal of PCB transformers;
  - Assessment of the pilot project on regionally organized storage and disposal of PCB capacitors;
- Draft the evaluation report and share with the key stakeholders for comments;
- Finalize the evaluation report based on the inputs from key stakeholders.

Qualification requirements for the *International Consultant - Team Leader*:

- Advanced university degree in engineering, environmental policies and protection or other policy related areas;
- Extensive (at least 7-year) experience and proven track record with policy advice and/or project development/implementation in environment (preferably specialization in the field of POPs/PCBs management);
- Advanced knowledge of international hazardous waste and PCB legislation and management practices;
- Proven track record of application of results-based approaches to evaluation of projects focusing on financial mechanisms in environmental protection (relevant experience in the CIS region and within UN system would be an asset);
- Familiarity with priorities and relevant international best-practices in the field, and with UNDP Gender Mainstreaming Strategy;
- Knowledge of and recent experience in applying UNDP and GEF M&E policies and procedures;
- Excellent English communication skills, knowledge of Russian would be an asset;
- Demonstrable analytical skills;
- Good interpersonal skills.

The *Local Consultant* will provide input in reviewing all the project-relevant documentation and provide the Team Leader with a compilation of information prior to the evaluation mission. Specifically, the *Local Consultant* will perform the following tasks:

- Review the original documents;
- Participate in the design of the evaluation methodology;
- Organize the mission program, arrange and facilitate meetings with key stakeholders;
- Assist the international expert in explaining the situation on the national level;
- Provide regular translation/interpretation as necessary;
- Draft related parts of the evaluation report, as relevant;
- Assist the International Team Leader in finalizing the draft report by incorporating inputs received;
- Provide other support services for the International Team Leader.

Qualification requirements for the *Local Consultant*:

- At least Bachelor's degree in public administration, engineering or natural sciences;
- At least 5-year experience in project development and/or evaluation, preferably in the field of environment protection (preferably specialization in hazardous waste and/or chemicals management);
- Project evaluation experiences within United Nations system will be considered an asset;
- Familiarity with gender issues;
- Excellent time-management skills;

- Excellent interpersonal and communicational skills;
- Proficiency in English and Russian, Kazakh language is an asset;
- Prior experience with UNDP would be an asset.

The evaluation will be undertaken in-line with GEF principles:

(i) Independence
(ii) Impartiality
(iii) Transparency
(iv) Disclosure
(v) Ethical
(vi) Partnership
(vii) Competencies and Capacities
(viii) Credibility
(ix) Utility

The evaluators must be independent from both the policy-making process and the delivery and management of assistance. Therefore applications will not be considered from evaluators who have had any direct involvement with the design or implementation of the project. This may apply equally to evaluators who are associated with organizations, universities or entities that are, or have been, involved in the project policy-making process and projects, connected with Kazakhstan Ministry of Environmental Protection, UNDP in Kazakhstan, or other partners/stakeholders must be disclosed in the application. If selected, failure to make the above disclosures will be considered just grounds for immediate contract termination, without recompense. In such circumstances, all notes, reports and other documentation produced by the evaluator will be retained by UNDP.

1.3

1.4 VIII. MANAGEMENT ARRANGEMENTS

1.5 **The principal responsibility for managing this evaluation lies with UNDP Country Office in Kazakhstan. It will be responsible for liaising with the project team to set up the stakeholder interviews, arrange the field visits and coordinate with the Government. UNDP Kazakhstan will contract the evaluators and ensure the timely provision of travel arrangements within the country.**

1.6 These Terms of Reference follow the UNDP-GEF policies and procedures, and together with the final agenda will be agreed upon by the UNDP-GEF Regional Coordinating Unit and UNDP Country Office in Kazakhstan. UNDP Country Office in Kazakhstan will receive a draft of the final evaluation report and provide comments on it prior to its completion.

1.7 The evaluation mission will take place during one week in September 2012. The total duration of the assignment of the international consultant will be 18 calendar days, of which 5 days are in-country mission days. The duration of assignment of the local consultant is 10 days, of which 5 days are in-field. The following timetable is recommended for the evaluation:

1.8 Desk review, development of methodology By 1st July 2012

1.9 Interviews with stakeholders One week in September 2012

1.10 Drafting report By 15th October 2012

1.11 Draft report circulation By 30th October 2012

1.12 Finalization of report By 30th November 2012

A preliminary visit program is given below:

	TIME	**ACTIVITY**
First day - Astana	To be specified Day	Arrival to Astana Work with project team
Second day - Astana	Whole day	Meetings with UNDP Kazakhstan Meetings with Government counterparts
Third day - Astana	9-16 16.00	Meetings with Government counterparts Travel to Temirtau

Fourth day – Temirtau and Karaganda	Whole day	Meetings with ArcelorMittal Temirtau and project partners
Fifth day	tbc Afternoon	Travel to regional storage (tbc) Travel to Astana
Sixth day	9-18	Wrap-up in Astana

The activities and timeframe are broken down as follows:

Activities	**Timeframes and responsibilities**	**Duration of implementation**
Desk review	4 days home-based – international consultant 1 days home-based – national consultant	August 2012
Field visits, interviews, questionnaire, Briefing of evaluation consultants	6 days in-country – international consultant 6 days in-country – national consultant	September 2012 September 2012
Preparation and presentation of draft report on mid-term monitoring.	5 days home-based – international consultant 2 days home-based – national consultant	By 15th October 2012
Validation of preliminary findings with stakeholders through circulation of initial reports for comments, meetings, and other types of feedback mechanisms	30 days Project team	15th October – 15th November
Preparation of final evaluation report (including comments)	3 days home-based – international consultant 1 day home-based – national consultant	By 30th November 2012
TOTAL WORKING DAYS	18 days international consultant, of which 6 in-country 10 days national consultant, of which 6 in-field	

Expected results and payment

Results	**Payment**
Field visits, interviews, questionnaire, evaluation briefing Acceptance of draft report on mid-term monitoring	40%
Acceptance of final evaluation report	60%

APPLICATION: The applications and brief conceptual summaries (the volume shall not exceed 5 pages and shall contain the brief description of approach and methodology to be used) shall be sent to the attention of Ms. Aliya Akhmetova, Program Assistant, mailing address: 26 Bokeikhan St., Astana, Kazakhstan; e-mail: aliya.akhmetova@undp.org.

The submission deadline is 15 June 2012.

1.13 ANNEXES:

1.14 **Annex 1: GEF terminology and project review criteria**

1.15 Annex 2: List of documents to be reviewed by the evaluators

1.16 Annex 3: Revised project logical framework

1.17 Annex 4: Rate tables

ANNEX 1. GEF TERMINOLOGY AND PROJECT REVIEW CRITERIA

Implementation Approach includes an analysis of the project's logical framework, adaptation to changing conditions (adaptive management), partnerships in implementation arrangements, changes in project design, and overall project management.

Some elements of an effective implementation approach may include:

- The logical framework used during implementation as a management and M&E tool
- Effective partnerships arrangements established for implementation of the project with relevant stakeholders involved in the country/region
- Lessons from other relevant projects (e.g., same focal area) incorporated into project implementation
- Feedback from M&E activities used for adaptive management.

Country Ownership/Driveness is the relevance of the project to national development and environmental agendas, recipient country commitment, and regional and international agreements where applicable. Project Concept has its origin within the national sectoral and development plans

Some elements of effective country ownership/driveness may include:

- Project Concept has its origin within the national sectoral and development plans
- Outcomes (or potential outcomes) from the project have been incorporated into the national sectoral and development plans
- Relevant country representatives (e.g., governmental official, civil society, etc.) are actively involved in project identification, planning and/or implementation
- The recipient government has maintained financial commitment to the project
- The government has approved policies and/or modified regulatory frameworks in line with the project's objectives

For projects whose main focus and actors are in the private-sector rather than public-sector (e.g., IFC projects), elements of effective country ownership/driveness that demonstrate the interest and commitment of the local private sector to the project may include:

- The number of companies that participated in the project by: receiving technical assistance, applying for financing, attending dissemination events, adopting environmental standards promoted by the project, etc.
- Amount contributed by participating companies to achieve the environmental benefits promoted by the project, including: equity invested, guarantees provided, co-funding of project activities, in-kind contributions, etc.
- Project's collaboration with industry associations

Stakeholder Participation/Public Involvement consists of three related and often overlapping processes: information dissemination, consultation, and "stakeholder" participation. Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or stake in the outcome of the GEF-financed project. The term also applies to those potentially adversely affected by a project.

Examples of effective public involvement include:

<u>Information dissemination</u>

- Implementation of appropriate outreach/public awareness campaigns

<u>Consultation and stakeholder participation</u>

- Consulting and making use of the skills, experiences and knowledge of NGOs, community and local groups, the private and public sectors, and academic institutions in the design, implementation, and evaluation of project activities

Stakeholder participation

- Project institutional networks well placed within the overall national or community organizational structures, for example, by building on the local decision making structures, incorporating local knowledge, and devolving project management responsibilities to the local organizations or communities as the project approaches closure
- Building partnerships among different project stakeholders
- Fulfillment of commitments to local stakeholders and stakeholders considered to be adequately involved.

Sustainability measures the extent to which benefits continue, within or outside the project domain, from a particular project or program after GEF assistance/external assistance has come to an end. Relevant factors to improve the sustainability of project outcomes include:

- Development and implementation of a sustainability strategy.
- Establishment of the financial and economic instruments and mechanisms to ensure the ongoing flow of benefits once the GEF assistance ends (from the public and private sectors, income generating activities, and market transformations to promote the project's objectives).
- Development of suitable organizational arrangements by public and/or private sector.
- Development of policy and regulatory frameworks that further the project objectives.
- Incorporation of environmental and ecological factors affecting future flow of benefits.
- Development of appropriate institutional capacity (systems, structures, staff, expertise, etc.).
- Identification and involvement of champions (i.e. individuals in government and civil society who can promote sustainability of project outcomes).
- Achieving social sustainability, for example, by mainstreaming project activities into the economy or community production activities.
- Achieving stakeholders' consensus regarding courses of action on project activities.

Replication approach, in the context of GEF projects, is defined as lessons and experiences coming out of the project that are replicated or scaled up in the design and implementation of other projects. Replication can have two aspects, replication proper (lessons and experiences are replicated in different geographic area) or scaling up (lessons and experiences are replicated within the same geographic area but funded by other sources). Examples of replication approaches include:

- Knowledge transfer (i.e., dissemination of lessons through project result documents, training workshops, information exchange, a national and regional forum, etc).
- Expansion of demonstration projects.
- Capacity building and training of individuals, and institutions to expand the project's achievements in the country or other regions.
- Use of project-trained individuals, institutions or companies to replicate the project's outcomes in other regions.

Financial Planning includes actual project cost by activity, financial management (including disbursement issues), and co-financing. If a financial audit has been conducted the major findings should be presented in the TE.

Effective financial plans include:

- Identification of potential sources of co-financing as well as leveraged and associated financing.
- Strong financial controls, including reporting, and planning that allow the project management to make informed decisions regarding the budget at any time, allows for a proper and timely flow of funds, and for the payment of satisfactory project deliverables
- Due diligence due diligence in the management of funds and financial audits.

Co-financing includes: grants, loans/concessional (compared to market rate), credits, equity investments, in-kind support, other contributions mobilized for the project from other multilateral agencies, bilateral development cooperation agencies, NGOs, the private sector and beneficiaries. Please refer to Council documents on co-financing for definitions, such as GEF/C.20/6.

Leveraged resources are additional resources—beyond those committed to the project itself at the time of approval—that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGO's, foundations, governments, communities or the private sector. Please briefly describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project's ultimate objective.

Cost-effectiveness assesses the achievement of the environmental and developmental objectives as well as the project's outputs in relation to the inputs, costs, and implementing time. It also examines the project's compliance with the application of the incremental cost concept. Cost-effective factors include:

- Compliance with the incremental cost criteria (e.g. GEF funds are used to finance a component of a project that would not have taken place without GEF funding.) and securing co-funding and associated funding.
- The project completed the planned activities and met or exceeded the expected outcomes in terms of achievement of Global Environmental and Development Objectives according to schedule, and as cost-effective as initially planned.
- The project used either a benchmark approach or a comparison approach (did not exceed the costs levels of similar projects in similar contexts)

Monitoring & Evaluation: Monitoring is the periodic oversight of a process, or the implementation of an activity, which seeks to establish the extent to which inputs, work schedules, other required actions and outputs are proceeding according to plan, so that timely action can be taken to correct the deficiencies detected. Evaluation is a process by which program inputs, activities and results are analyzed and judged explicitly against benchmarks or baseline conditions using performance indicators. This will allow project managers and planners to make decisions based on the evidence of information on the project implementation stage, performance indicators, level of funding still available, etc, building on the project's logical framework.

Monitoring and Evaluation includes activities to measure the project's achievements such as identification of performance indicators, measurement procedures, and determination of baseline conditions. Projects are required to implement plans for monitoring and evaluation with adequate funding and appropriate staff and include activities such as description of data sources and methods for data collection, collection of baseline data, and stakeholder participation. Given the long-term nature of many GEF projects, projects are also encouraged to include long-term monitoring plans that are sustainable after project completion.

Financial Planning: Co-financing Table

Co-financing and Leveraged Resources

Co financing (Type/ Source)	**IA own Financing (mill US$)**		**Multi-lateral Agencies (Non-GEF) (mill US$)**		**Bi-laterals Donors (mill US$)**		**Central Government (mill US$)**		**Local Government (mill US$)**		**Private Sector (mill US$)**		**NGOs (mill US$)**		**Other Sources* (mill US$)**		**Total Financing (mill US$)**		**Total Disbursement (mill US$)**	
	Proposed	**Actual**	**Proposed**	**Actual**	**Proposed**	**Actual**	**Proposed**	**Actual**	**Proposed**	**Actual**	**Proposed**	**Actual**	**Proposed**	**Actual**	**Proposed**	**Actual**	**Proposed**	**Actual**	**Proposed**	**Actual**
Grant																				
Credits																				
Loans																				
Equity																				
In-kind																				
Non-grant Instruments*																				
Other Types*																				
TOTAL																				

- "Proposed" co-financing refers to co-financing proposed at CEO endorsement.
- Please describe "Non-grant Instruments" (such as guarantees, contingent grants, etc):
  _____
- Please explain "Other Types of Co-financing": _____
- Please explain "Other Sources of Co-financing": _____

Projects that have not realized expected co-financing levels must provide explanations. Please describe in 50 words the resources the project has leveraged since inception and indicate how these resources are contributing to the project's global environmental objective.

ANNEX 2. LIST OF DOCUMENTS TO BE REVIEWED BY THE EVALUATORS

General documentation

- UNDP Programme and Operations Policies and Procedures
- UNDP Handbook for Monitoring and Evaluating for Results
- GEF Monitoring and Evaluation Policy

Project documentation

- Project document
- Annual Project Reports
- Project Implementation Review
- Quarterly Reports
- **Steering Committee Meeting minutes**
- Technical reports

1.18 Annex 3: REVISED PROJECT LOGICAL FRAMEWORK

Strategic Results Framework, SRF (formerly GEF Logical Framework) Analysis

Project Strategy	**Objectively verifiable indicators**	**Baseline**	**Target**	**Sources of verification**	**Assumptions**
Objective: To enhance the capacity for safe manage-ment of PCB oil and PCB-containing equipment at all stages of the PCB management cycle in Kazakhstan	Clear regulation anchored scheme for PCB management with identified roles and deadlines in Kazakhstan established	No specific regulations, guidelines or enforcement for PCB management through-out their lifecycle. Roles and responsibilities of PCB holders and authorities at regional and central level not elaborated.	1. Environmental Code amendment and technical specifications adopted. And integrated by environmental authorities. 2. Clear PCB reporting and enforcement set up nationally. PCB holder submitted management plans integrated in environmental inspections.	1.Official Gazette and MEP documents	
	Site and regional based PCB disposal systems developed and demonstrated from planning to disposal.	No safe PCB disposal undertaken. No organized system for assisting PCB holders in finding optimized PCB management solutions.	1. One major PCB capacitors and one major PCB transformer site management demonstrated from planning to disposal. Resulting in 1,400 tons PCB waste processed. 2. Regionally based PCB col-lection/disposal scheme in place with 200 tons PCB waste processed.	1. PCB holder documentation. Disposal certificates. 2. Government documents. Disposal certificates	

Outcome 1: Regulatory and administrative strengthening for sound PCB management	1. Proposed changes in Environmental Code and changes in associated laws finalized.	1. Code exists without PCB amend-ments.	1. Fully consulted proposal submitted 1 year.	1. Documents from Min. Env. to Cabinet of Ministers.	Risk: Delays due to complexity of amend-ments in associated laws or changes in government.
	2. Changes ensuring safe PCB management in Env. Code adopted.	2. Code exists without PCB amendments.	2. Legislation adopted within 2 years.	2. Signed law published in Official Gazzette	Development of quality guidelines assumed to prioritize monitoring efforts
	3. Development of technical guidance implementing PCB regulative framework	3. No legislation/ guidelines covering PCBs	3. 5 guidance documents covering various stages and stakeholders of PCB life-cycle	3. MEP official publications	Risk: Capacity constraints postpone application of quality guidelines
	4. Development and adoption of PCB environ-mental and food quality guidelines	4. No food and environ-mental quality guidelines exist	4.Specific quality guidelines developed covering abiotic environment and food	4. Official Gazette. MEP official publications	

Outcome 2: Capacity building for sound PCB management, identification of additional PCB sources	1. Number of PCB holder management plans developed.	1&2. No PCB holder specific management and replacement plans developed	1. All PCB holding companies submit management plans.	1&2. MEP, official management plan filings by companies.	Assumption: All companies willing for change Risk: Unsafe PCB oil/equipment disposal due to economic benefit to some parties.
	2. Number of PCB holder replacement plans developed**.**	1&2. No PCB holder specific management and replacement plans developed	2. 20 plans during 3 first years of project	1&2. MEP, official management plan filings by companies.	Assumption: Adopted legislation requires PCB holders to develop management and replacement plans
	3. Number of new approaches for PCB data collection initiated. (Separate investigation for Min. of Defense, collection through Ministry of industries channels, reward system)	3. Survey type initial investigation carried out as part of POPs EA project.	3. 100 additional companies surveyed. Complete PCB data from Ministry of defense.	3. MEP PCB database. Ministry of defense PCB data base exists and at least aggregated data accessible to other authorities	Assumption: Ministry of Defense willing to investigate PCB situation before legal requirements enter into force.

Outcome 3: Replacement, setting-up safe dismantling of 850 tons of PCB transformers and their safe disposal	1. Company phase out plans developed. 2. Safe workshop and storage assigned up dated for PCB dismantling and storage. 3. Number of PCB contaminated transformers drained and dismantled. 4. Tons of PCB contaminated oil and associated waste disposed through exports	1. Basic intention of PCB phase-out. 2(a). No space assigned. Disconnected transformers are in the stored in the main production building 2(b). Workers barely aware of PCB dangers or proper pre-cautions 3. Zero 4. Zero, no safe PCB disposal carried out	1.106 PCB transformer 2(a). Safe transformer storage facility established within second year of project. 2(b). Disconnection and dismantling personnel fully trained for safe PCB handling 3. 30 transformers phased-out and replaced within 36 months of project implementation. Replacement plan for all transformers accepted by end year 4. 4. Target: 850 tons of PCB waste safely disposed.	1. Company records 2(a). Regional environmental inspector International expert reports. 2(b). Training records and reports 3.Company warehouse book-keeping and regional inspector reports 4. Freight documents and disposal certificates	Assumption: Economic situation does not deteriorate further for keeping the investment company plan. Risk: budgeting Fluctuating currencies may increase or decrease final transportation and disposal prices budgeted in US$

Outcome 4: Regionally organized secure storages and disposal of PCB capacitors	1. Storage manned with professional workers	1. No safe storages exist.	1. All storage personnel undergone safe handling, fire, spill containment training.	1. Project documents, list of training attendees and training report.	Risk: Delays due to prolonged permitting due to site selection, and approvals for their release, NIMBY etc.
	2.System of storages operational	2. No safe PCB storages exist.	2. PCB waste received within 36 months of project inception	2. Diary/log for incoming material at storage site.	Assumptions: sites selected to ensure that no major local resistance to storing hazardous waste delay approval process.
	3. Disposal of regionally collected PCB containing equipment and waste.	3. None.	3. 200 tons of PCB equipment and waste disposed.	3. Certificate of disposal by final disposal facility.	Assumption: companies willing to participate in early storage
	4. Tons of PCB capacitors disposed from Darial-U site	4. First batches exported	4. All Darial-U capacitors disposed by end year 4.	4. Freight documents and disposal certificates	Risk: first bidding and disposal quantities may be low due to the fact that legislation has been approved close to target date

Outcome 5: Monitoring, learning, adaptive feedback, outreach and evaluation	1: M&E and adaptive management applied to project in response to needs, mid-term evaluation findings with lessons learned extracted.	1.No Monitoring and Evaluation system 2. No evaluation of project output and outcomes	1. Monitoring and Evaluation system developed during year 1. 2. Mid-term-evaluation of project output and outcomes conducted with lessons learnt at 30 months of implementation.	1. Project document inception workshop report. 2. Independent midterm-evaluation report.	
Outcome 1: Regulatory and administrative strengthening for sound PCB management Output 1.1: Environmental Code and other PCB related legislation reviewed, changes developed. Environmental Code revised to include a chapter on PCB management and disposal. Output 1.2: Responsibilities vis-a-vis International Chemicals´ Conventions in the government re-aligned Output 1.3: Detailed PCB rules, guidelines, incentive schemes developed Output 1.4: Capacity for implementing and knowledge of PCB regulations and guidance among public sector actors, including training of customs department in PCB identification, enhanced. Output 1.5: Awareness raising campaigns on PCB risks and regulatory requirements among authorities and wider public conducted					
Outcome 2: Capacity building for sound PCB management, identification of additional PCB sources Output 2.1: Improved capacities of PCB holders for sound PCB management Output 2.2: PCB holder-wise management and replacement plans Output 2.3: PCB inventory expanded and updated Output 2.4: Enhanced PCB analysis preparedness at State Hydro-meteorological services and Ministry of Health laboratories Output 2.5: Risk based priority setting tools for PCBs management initiatives developed.					
Outcome 3: Replacement, setting-up safe dismantling of 850 tons of PCB transformers and their safe disposal Output 3.1: Phase-out and procurement of replacement transformers planned and scheduled Output 3.2: Transformers disconnected, drained, dismantled and cleaned, metals recycled Output 3.3: Disposal of oils and associated waste					

Outcome 4: Regionally organized secure storages and disposal of PCB capacitors
Output 4.1: Secure, temporary PCB storage facilities identified, constructed/upgraded
Output 4.2: Safe operation of storage sites secured
Output 4.3: PCB collection and disposal put in place and implemented
Output 4.4: 15,000 PCB capacitors at Darial-U Capacitor site disconnected, packed and stored.
Output 4.5: Clean-up premises and pack all potentially PCB contaminated wastes.
Output 4.6: Transportation and disposal of approximately 600 tons of PCBs and associated waste disposed.
Outcome 5: Monitoring, learning, adaptive feedback, outreach and evaluation
Output 5.1: M&E and adaptive management applied to project in response to needs and to extract lessons learned
Output 5.2: Lessons learned and best practices are replicated at the national level

ANNEX 4 – RATE TABLES

Table 1. Status of objective / outcome delivery as per measurable indicators

OBJECTIVE	MEASURABLE INDICATORS FROM PROJECT LOGFRAME	END-OF-PROJECT TARGET	STATUS OF DELIVERY*	RATING**
Objective :				
OUTCOMES	**MEASURABLE INDICATORS FROM PROJECT LOGFRAME**	**END-OF-PROJECT TARGET**	**STATUS OF DELIVERY**	**RATING**
Outcome 1:				
Outcome 2:				
Outcome 3:				
Outcome 4:				

1.18.1.1.1.1

1.18.1.1.1.2 Status of delivery colouring codes:

Green / completed – indicator shows successful achievement

Yellow – indicator shows expected completion by the end of the project

Red – Indicator show poor achievement - unlikely to be complete by end of Project

Table 2: Project ratings

PROJECT COMPONENT OR OBJECTIVE	RATING SCALE						RATING
	HU	U	MU	MS	S	HS	
PROJECT CONCEPT/DESIGN, RELEVANCE AND STRATEGY							
Project relevance, country ownership/drivenness							
Stakeholder involvement							
Management arrangements							
Project budget and duration							
Design of project M&E system							
PROJECT IMPLEMENTATION							
Adaptive management							
Monitoring systems							
Risk management							
Work planning							
Financial management							
Reporting							
Delays							
Stakeholder participation, partnership strategy							
Production and dissemination of information							
Local resource users and NGOs participation							
Establishment of partnerships							
Involvement and support of governmental institutions							
PROJECT RESULTS (see table 1)							
OVERALL PROJECT ACHIEVEMENT & IMPACT							

Annex 2

Midterm evaluation
of the UNDP/GEF Project „Design and Execution of a Comprehensive PCB Management Plan for Kazakhstan"

1-5 October 2012, Astana, Kazakhstan

Empowered lives. Resilient nations.

Monday, 01 October 2012		
Timing	**Venue**	**Partner**
9:00 -11:30	PCB Office	Meeting with Project team and UNDP Programme Officer, Emilia Wahlstrom
11.30 – 12.30	UNDP Office	Meeting with UNDP Head of Energy and Environment Unit, Stanislav Kim
12:30 – 13:45		Lunch
14:30–16:30	MEP	Ministry of Environmental Protection- Project Director
17:00-17:30	Kazhydromet	Ministry of Environmental Protection – Kazhydromet
17:30-18:00	MoH	Ministry of Health
Tuesday, 02 October 2012		
9:00 – 10:00	MoA	Ministry of Agriculture
10:30- 11:00	Esil office	Ministry of Defense
11:30 – 12:30	MoES	Ministry of Emergency Situations
13:00-13:30		Lunch
13:30 – 14.00	Skype	RECETOX, Ivan Holoubek (confirmed)
14:00 – 14.45	BRC, Skype	Technical advisor, Maksim Surkov
16:00 – 16:30		Custom Committee
17:00- 18:00		KEGOC

Wednesday, 03 October 2012		
09:00-18:00	Temirtau and Karaganda	Temirtau and Karaganda (ArcelorMittal), Karaganda (Ecomuseum NGO),
Thursday, 04 October 2012		
09:00 – 18:30	Stepnogorsk	Travel to Stepnogorsk PCB storage
Friday, 05 October 2012		
9:00 – 10:00		Ministry of Oil and Gas
10:30 - 11:30	MINT	Ministry of Industry and New Technologies
12:00 – 13:00		Meeting with PCB holder, NERC (KAPUR)
13:00 – 14:00		Lunch
14:00-14:30	PCB office	KazakhMys
15:00-15:30	World Bank office	Meeting with World Bank
16:00-16:30	UNDP Office	Meeting with UNDP Deputy Resident Representative, Ekaterina Paniklova
16:30-18:00	UNDP Office	Wrap up with UNDP Kazakhstan, Energy and Environment Team (Stanislav Kim and Emilia Wahlstrom)
Saturday, 06 October 2012		
10:00-13:00	PCB Office	Final meeting and wrap up with project team

Понедельник, 01 октября 2012		
Время	**Место**	**Партнер**
9:00 -11:30	Офис проекта	Встреча с проектной командой и Программным аналитиком ПРООН, Эмилия Вальстром
11:30-12:30	Офис ПРООН	Встреча с Директором департамента окружающей среды и энергетики, Станиславом Ким
13:00-14:00		Обед
14:30–16:30	МООС	Министерство охраны окружающей среды РК, Национальный директор проекта
16:30-17:00	Казгидромет	РГП Казгидромет
17:30-18:00	МЗ	Министерство сельского хозяйства РК
Вторник, 02 октября 2012		
9:00 – 10:00	МСХ	Министерство сельского хозяйства РК
10:30- 11:00	Офис проекта	Министерство обороны РК
11:30– 12:30	МЧС	Министерство по чрезвычайным ситуациям РК
13:00-13:30		Обед
13:00-13:30	Скайп	RECETOX
14:00 – 14:45	РЦБ, скайп	Технический советник, Максим Сурков
16:00 – 16:30		Комитет таможенного контроля
17:00- 18:00		КЕГОК
Среда, 03 октября 2012		
09:00-18:00	Темиртау, Караганда	АрселорМиттал в Темиртау и Караганде, Экомузей в Караганде
Четверг, 04 октября 2012		

09:00 – 18:30	Степногорск	Поездка в г. Степногорск, предприятие «Астана-Нан»
Пятница, 05 октября 2012		
9:00 – 10:00		Министерство нефти и газа РК
10:30 - 11:30	МИНТ	Министерства индустрии и новых технологий
12:00 – 13:00		АО «Евразийская корпорация природных ресурсов»
13:00 – 13:30		Обед
14:00-14:30	Офис проекта	Казахмыс
15:30-15:30	Всемирный Банк	Всемирный Банк
16:00-16:30	Офис ПРООН	Встреча с Заместителем Постоянного Представителя, Екатериной паникловой
16:30-18:00		Завершающие работы
Saturday, 06 октября 2012		
09:00-17:00	Офис проекта	Заключительная встреча

Annex 3

LIST OF CONTACTS

of meetings for Midterm evaluation of the UNDP/GEF Project "Design and Execution of a Comprehensive PCB Management Plan for Kazakhstan"

October 1-6, 2012

October 1, 2012 – Astana

Amina Beibitova, Project Manager

UNDP/GEF Project "Design and Execution of a Comprehensive

PCB Management Plan for Kazakhstan"

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Tleubai Adilov, Director of monitoring department

Ainur Urkpaeva

KazHydroMet

Address**:** Astana, Orynbor street, 11/1, office 404

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Nina Gor, Deputy of Environmental Protection Department

Ministry of Environmental Protection

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Mr. Uzbekov, Head of Department of Ecology

Nikolai Barbuko

Ministry of Defense

Address: Dostyk avenue 14

E-mail: uzbekov@mod.gov.kz

Zaure Akhmetova, Head of Department of state inspection

Bahyt Bergenova, Expert

Ministry of Health

8, Orynbor Street

October 2, 2012 – Astana

Gulnar Yussupova – Senior Expert of phytosanitary inspection of State Inspection Committee in Agricultural Complex

Ministry of Agriculture

Address: Astana, 36, Kenesary Street

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Gaukhar Maikenova, Capacity Development Specialist

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Ivan Holoubek (Skype interview)

RECETOX

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Maksim Surkov,

Technical Advisor

Skype address: maksim.surkov@undp.org

KEGOC

Name: Djagiparova Ardak, ecologist

Address: Dzhagiparova@kegoc.kz

October 3, 2012 – Field visit to Temirtau and Karagnda

Victor Oskarovich Kober, Director of Economic Security

Galina Nikolaevna Drozdova, Head of Environmental Protection Department

"ArcelorMittal"

Address: 1, Republic Ave., Temirtau, Kazakhstan

EnergoUgol:

- Bagdagul Kenjegalievna Baltibaeva, Head of Environmental Protection Department
- Olga Vyacheslavovna Chernuha, Engineer of Environmental Protection Department
- Nikolai Ivanovich Stepanov, Senior Energetic
- Nadejda Valentiniovna Drozd, Engineer Ecologist, Department of Mining Industries and Builders

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Aigul Malikova, program manager

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Kazakhstan, Karaganda, 100000

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E-mail: ecomuseum@ecomuseum.kz

October 4, 2012 – Field visit to Stepnogorsk, PCB Storage

ASTANA-NAN, PCB Storage:

Alexander Nikolaevich Philippov, Technical Adviser

Marina Anatolievna Sisenko, Head of Laboratory

October 5, 2012 – Astana

Galia Uzakbaevna Koshen, Head of Petrochemical Division

Zhomart Shutkaraev, Senior Expert

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Kairat Baimukhambetov, Committee of Industry, Department of Chemistry and Pharmacies

Ministry of Industry and New Technologies

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Annex 4

FIELD VISIT REPORT

Date of Visit: October 1-6, 2012

Subject of the visit: Midterm Evaluation of the UNDP/GEF Project "Design and Execution of a Comprehensive PCB Management Plan for Kazakhstan"

Venue of the visit: Astana, Karaganda, Temirtau, Stepnogorsk in Kazakhstan

Purpose of field visit: To assess the overall project progress, make sure the project is on track to deliver the agreed outcomes, and procedure recommendations on any adjustments needed.

Prepared by: Anna Ortiz Salazar – International Consultant, Jamila Asanova – National Consultant

Outcomes	**Outputs**	**Update on outputs**	**Reasons if progress is below target**	**Update of partnership strategies**	**Recommendations and proposed actions.**
Project Team					
Outcome 1. Regulatory and administrative strengthening for sound PCB management	1.Environmental Code and other PCB related legislation reviewed, changes developed 2.Responsibilities vis-à-vis International Chemicals; Conventions in the gov-t re-aligned.	2 Amendments made to the Environmental Code of the Republic of Kazakhstan 3 Amendments made to the legislation for employment of entrepreneurs. Now entrepreneurs shall: 1) take inventory of equipment; 2) provide	No reasons. Target achieved.	5 Strategic partner of the project – Ministry of Environmental Protection (MEP). By the time of mid-term evaluation it changed, and there is a need in holding a meeting	8 Kazakhstan should have the regulations close to the world standards. Together with PCB, there exist many elements that require burial, e.g. pesticides. It is important to coordinate the work and bring it in line to have one document.

	3.Detailed PCB Rules, guidelines developed 4.Capacity for implementing and knowledge of PCB regulations and guidance among public sector actors 5.Awareness raising campaigns on PCB risks and regulatory requirements among authorities and wider public conducted	phase-out and procurement of replacement transformers; 3) prepare a disposal plan. 4 Training was conducted. The participants through work in small groups could develop recommendations for the introduction of amendments to the legislation.		between it and the project team. 6 Any partnership with other partners start from a letter. A strategic partner shall prepare a letter on the project to other ministries and stakeholders. 7 Inventory is provided by state program "Zhasyl Damu", i.e. there is a component of sustainability through this program financial support.	
Outcome 2. Capacity building for sound PCB management, identification of additional PCB sources	1.Improved capacities of PCB holders for sound PCB management 2.PCB holder-wise management and replacement plans 3.PCB inventory expanded and updated 4.Enhanced PCB analysis preparedness	5 A good achievement was that training was started to be conducted, and no amendments to the legislation were expected. I.e. when the legislation was adopted, the people were already well-prepared. 6 Workshops were conducted. Problems with inviting		KazNIEC and regional departments of ecology	9 Kazakhstan is a large country, and every region is specific. It is important to conduct training separately for an individual region subject to its specifics. 10 KazNIEC may be a local partner for conducting training courses. In future, they may have training for local trainers (TOT) who will be able to conduct trainings in the regions. 11 The project has no a web-site. To consider a possibility of making a webpage on the web-site of MEP or KazNIEC and place materials of training workshops and aids there.

	at State Hydro-meteorological services and Ministry of Health laboratories 5.Risk based priority setting tools for PCBs management initiatives developed	necessary people. Sometimes people who do not need this knowledge take part in workshops, and they do not share the knowledge they acquire to those who need such knowledge. 7 Specific workshops held by international experts were helpful, e.g. on packing skills. 8 An on-the-job training was arranged in Brno to study the work of regional RECETOX laboratory. After the training a workshop in Kazakhstan was held, and other laboratories from Kazakhstan were invited to take part in it. The workshop was helpful because there is no certified PCB-analysis laboratory in Kazakhstan, and the participants learnt how to make PCB-analysis.			12 It is necessary to develop the potential and desire of a few laboratories available in Kazakhstan to get certified for PCB analysis.
Outcome 3. Replacement, setting-up safe dismantling of 850 tons of PCB	1.Phase-out and procurement of replacement transformers planned and scheduled	1 ArcelorMittal (AMT) is the largest PCB implementer. They were the first who took inventory before	It is likely that the indicator will not be achieved because it is hard to come to an	Department of Ecology of ArcelorMittal and other PCB holders	a. It is necessary to be confident in correct storage and transportation of PCB. The project objective is to show various opportunities for creation of conditions.

transformers and their safe disposal	2.Transformers disconnected, drained, dismantled and cleaned, metals recycled 3.Disposal of oil and associated waste	Kazakhstan adopted the conventions back in 1996. AMT took a loan for inventory. They had a PCB liquidation plan. In 2003-2006 there was another UNDP program, at that time they replaced 23 transformers. 2 Currently, AMT prepared 86 containers for transportation.	agreement with the countries through which PCB waste can be removed.		b. When the budget was made (2008), the transportation price was one, and now it is different. To consider an opportunity for transferring the budgetary funds from component 2 to components 3 and 4. Objective 2 is more sustainable, and there is an opportunity for developing the potential and conduct training by efforts of local partners. c. There is a need in several alternative plans on PCB waste transportation. It is necessary to simultaneously negotiate with the country through which it is possible to arrange transportation.
Outcome 4. Regionally organized of oils and associated waste	1.Secure, temporary PCB storage facilities identified, constructed 2.Safe operation of storage sites secured 3.PCB collection and disposal put in place and implemented 4.15,000 PCB capacitors at Darial-U Capacitor site disconnected, packed and stored 5.Clean-up premises and pack all potentially	3 The project shifted away from the idea of making regional storage facilities. Possibly, enterprises themselves will be able to create storage facilities for PCB. 4 Astana–Nan created a storage 5 1,383 capacitors, 24 transformers prepared.		6 Astana-Nan is a main partner for PCB packing and storage.	7 Conduct an additional training on packing and storage for Astana-Nan.

	PCB contaminated wastes. 6.Transportation and disposal of approximately 600 tons of PCBs and associated waste disposed.				
Outcome 5. Monitoring, learning, adaptive feedback, outreach and evaluation	1.M&E and adaptive management applied to project in response to needs and to extract lessons learned 2.Lessons learned and best practices are replicated at the national level	a. The project team is open for getting a feedback and ongoing monitoring of the project implementation.			
KazNIEC (Kazakh Institute of Economy and Climate)					
Outcome 1. Regulatory and administrative strengthening for sound PCB management	1.Environmental Code and other PCB related legislation reviewed, changes developed 2.Responsibilities vis-à-vis International Chemicals; Conventions in the gov-t re-aligned. 3.Detailed PCB Rules,	9 Kazakhstan joined 6 international conventions in the area of ecology, and the Stockholm Convention is one of them. 10 "Rules for Vacant Lands Management" have been adopted in Kazakhstan.	No reasons. Target achieved.	Coordination with MEP and regional departments of ecology	11 It is important to conduct ongoing monitoring should any amendments and changes be introduced to the national plan and regulatory documents. It is important that such documents include waste management issues.

	guidelines developed 4.Capacity for implementing and knowledge of PCB regulations and guidance among public sector actors 5.Awareness raising campaigns on PCB risks and regulatory requirements among authorities and wider public conducted	According to them, vacant lands will be taken to the republican level at law. An inventory of such lands need to be taken, and it will be held.			
Outcome 2. Capacity building for sound PCB management, identification of additional PCB sources	1.Improved capacities of PCB holders for sound PCB management 2.PCB holder-wise management and replacement plans 3.PCB inventory expanded and updated 4.Enhanced PCB analysis preparedness at State Hydro-meteorological services and Ministry of Health laboratories	13 There is a need in developing and creating Kazakhstan's waste database/ cadastre. Such database/ cadastre will be important after management plans are developed, and information on inventory results becomes available. The following will be developed in the database/ cadastre 1) abandoned waste and chemical management system; 2) hazardous waste system; 3) big			15 The project has to encourage and coordinate the work with KazNIEC on creation of a single database/ cadastre that will have information on PCB amount, landfill sites, condition, etc. 16 Sustainability of the project, namely, the second component may be achieved due to building capacity and training program development based on KazNIEC.

	5.Risk based priority setting tools for PCBs management initiatives developed	enterprises, how they will develop a waste management program. 14 KazNIEC constantly conduct training of regional representatives from Kazakhstan on various matters. Given such possibility, training may be conducted on the PCB topic.			
KazHydromet					
Outcome 2. Capacity building for sound PCB management, identification of additional PCB sources	1.Improved capacities of PCB holders for sound PCB management 2.PCB holder-wise management and replacement plans 3.PCB inventory expanded and updated 4.Enhanced PCB analysis preparedness at State Hydro-meteorological services and Ministry of Health laboratories	17 KazHydromet participated successfully in the second component. Specialists were trained at regional workshops in Almaty and Astana. Also, they were involved in the on-the-job training in Czech Republic. 18 Workshops were conducted. Problems with inviting necessary people. Sometimes people who do not need this knowledge take part in			21 It is important that the project raises such topic. It is necessary to keep track of the situation and promote it so that PCB will be included into a monitoring list (together with air test, soil test, etc.). In such a case respective state authorities will be able to monitor on a permanent basis. 22 The required equipment has already been installed in the PCB-analysis laboratory in Ust-Kamenogorsk. It is important to continue financing so that Kazakhstan have capacities for PCB-analysis.

	5.Risk based priority setting tools for PCBs management initiatives developed	workshops, and they do not share the knowledge they acquire to those who need such knowledge. 19 Specific workshops held by international experts were helpful, e.g. on packing skills. 20 An on-the-job training was arranged in Brno to study the work of regional RECETOX laboratory. After the training a workshop in Kazakhstan was held, and other laboratories from Kazakhstan were invited to take part in it. The workshop was helpful because there is no certified PCB-analysis laboratory in Kazakhstan, and the participants learnt how to make PCB-analysis.			
Outcome 3. Replacement, setting-up safe dismantling of 850 tons of PCB transformers	1.Phase-out and procurement of replacement transformers planned and scheduled	8 It is important to understand different levels of environmental problems: global, national (Semey,	A problem with transportation because it is difficult to come to an agreement with the countries	Department of Ecology of ArcelorMittal and other PCB holders	

and their safe disposal	2.Transformers disconnected, drained, dismantled and cleaned, metals recycled 3.Disposal of oil and associated waste	Aral) and local. 9 One of the problems is military test sites available that have condensers. It is important to take inventory and exactly determine the condition of PCB-containing equipment.	through waste has to be removed.		
Ministry of Environmental Protection (MEP)					
Outcome 1. Regulatory and administrative strengthening for sound PCB management	1.Environmental Code and other PCB related legislation reviewed, changes developed 2.Responsibilities vis-à-vis International Chemicals; Conventions in the gov-t re-aligned. 3.Detailed PCB Rules, guidelines developed 4.Capacity for implementing and knowledge of PCB regulations and guidance among public sector actors 5.Awareness raising campaigns on PCB risks	12 Amendments to the Environmental Code added, an order adopted that regulates the rules for POPs (persistent organic pollutants). 13 Before 2028 all POPs facilities should be treated in Kazakhstan.	No reasons. Target achieved.	14 MEP helped the project build relationship with subsoil users, with state authorities, provide the project with employees of the Ministry as experts, furnish a laboratory capacity.	15 It is important to additionally give a status of legitimacy to some documents on POPs operation. 16 It is important to coordinate the work of state authorities. Thus, for example, the Ministry of Agriculture deals with pesticide issues. Involvement in the Steering Committee organized around the project gives an opportunity for coordinating actions. It is important to communicate the issues being discussed in the Steering Committee to the management of state authorities.

	and regulatory requirements among authorities and wider public conducted				
Outcome 2. Capacity building for sound PCB management, identification of additional PCB sources	1.Improved capacities of PCB holders for sound PCB management 2.PCB holder-wise management and replacement plans 3.PCB inventory expanded and updated 4.Enhanced PCB analysis preparedness at State Hydro-meteorological services and Ministry of Health laboratories 5.Risk based priority setting tools for PCBs management initiatives developed	23 It would be helpful to get involved in on-the-job training in Czech Republic. 24 It is important that the rules clearly identify timeframe for inventory, and people have already been trained. Such integrated approach and clearly set deadline make it possible for everyone to understand the essence of issue.		Regional departments of ecology.	
Outcome 3. Replacement, setting-up safe dismantling of 850 tons of PCB transformers and their safe disposal	1.Phase-out and procurement of replacement transformers planned and scheduled 2.Transformers disconnected, drained, dismantled and cleaned,	10 The third component is being delayed. One of the reasons is ArcelorMittal (AMT). 11 It is		Possible review of transportation issues by the Ministry of Foreign Affairs.	d. It is important that companies also sign Memorandums like companies do, where obligations and deadlines are specified. And this is a lesson learnt.

	metals recycled 3.Disposal of oil and associated waste	necessary to work on the transportation issue. We wouldn't want to remove by air because we would like to pave the way that would in a reliable manner remove PCB waste on a regular basis. 12 The project team and MEP have a clear vision that the work should be carried out in two stages: 1) transportation of condensers, transformers and liquids; 2) analysis, sampling and greenhouse gas.			
Ministry of Health, Ministry of Defense, Ministry of Agriculture, Ministry of Oil and Gas, Ministry of Industry and New Technologies, Regional Department of Ecology in Karaganda					

Outcome 1. Regulatory and administrative strengthening for sound PCB management	1.Environmental Code and other PCB related legislation reviewed, changes developed 2.Responsibilities vis-à-vis International Chemicals; Conventions in the gov-t re-aligned. 3.Detailed PCB Rules, guidelines developed 4.Capacity for implementing and knowledge of PCB regulations and guidance among public sector actors 5.Awarenes raising campaigns on PCB risks and regulatory requirements among authorities and wider public conducted	17 The main state authority is MEP that has done a great amount of work on the legislative framework and organization of the Steering Committee, which has helped the project. 18 Additionally, Orders of the Ministers contributed too, and due to that the Ministries involved in the project are doing their job.	No reasons. Target achieved.	19 MEP helped the project build relationship with subsoil users, with state authorities, provide the project with employees of the Ministry as experts, furnish a laboratory capacity.	20 It is important to additionally give a status of legitimacy to some documents on POPs operation. 21 It is important to coordinate the work of state authorities. Thus, for example, the Ministry of Agriculture deals with pesticide issues. Involvement in the Steering Committee organized around the project gives an opportunity for coordinating actions. It is important to communicate the issues being discussed in the Steering Committee to the management of state authorities.
Outcome 2. Capacity building for sound PCB management, identification of additional PCB sources	1.Improved capacities of PCB holders for sound PCB management 2.PCB holder-wise management and replacement plans 3.PCB inventory expanded and updated	25 Thanks to the project it would be helpful to learn the world experience in waste management. The knowledge acquired at workshops to be		It is important to agree and coordinate actions with MEP and other Ministries and state authorities.	b. There is a capacity in laboratories in Almaty and Ust-Kamenogorsk to perform PCB analysis. Both labs are equipped. It is necessary to introduce standards for analysis and train personnel. c. Nonprofit organizations have to be involved in the work on communicating and conducting workshops. d. There is a need in seminars on

	4.Enhanced PCB analysis preparedness at State Hydro-meteorological services and Ministry of Health laboratories 5.Risk based priority setting tools for PCBs management initiatives developed	shared with necessary executors. 26 A large activity on inventory started throughout the country too. 27 The Ministry of Health trained 169 instructors from all the regions of Kazakhstan on the World Bank project with regard to Food Safety. TOT may also be held for these instructors on some technical issues regarding waste. This may be sustainability of the project. 28 There are problems with seeking for specialists in such specific sphere.			standardization issues. It is within the competence of the Technical Regulation Committee.

Outcome 3. Replacement, setting-up safe dismantling of 850 tons of PCB transformers and their safe disposal	1.Phase-out and procurement of replacement transformers planned and scheduled 2.Transformers disconnected, drained, dismantled and cleaned, metals recycled 3.Disposal of oil and associated waste	13 The transportation problem lies in the fact that not all countries joined the International Convention; therefore, it is prohibited to transport PCB waste through their territory.		**E.** Transportation issue is being resolved by the Customs Committee. **F.** The Customs Union will allow to consider a transportation issue.	- An initiative of the World Bank on construction of a plant handling waste in the territory of Kazakhstan is a remote future, therefore, it is important to think over the strategy for waste transportation from Kazakhstan, and several options have to be considered.
RECETOX (Ivan Holoubek) and Technical adviser (Maksim Surkov) – Skype Conferences					
Outcome 1. Regulatory and administrative strengthening for sound PCB management	1.Environmental Code and other PCB related legislation reviewed, changes developed 2.Responsibilities vis-à-vis International Chemicals; Conventions in the gov-t re-aligned. 3.Detailed PCB Rules, guidelines developed 4.Capacity for implementing and knowledge of PCB regulations and guidance among public sector actors	- One of the most positive project outcomes is creation to the legislative framework.			22 MEP should continue to supervise, and businessmen should comply with the legislation. 23 Kazakhstan's experience may be disseminated in the Central Asian countries.

	5.Awareness raising campaigns on PCB risks and regulatory requirements among authorities and wider public conducted				
Outcome 2. Capacity building for sound PCB management, identification of additional PCB sources	1.Improved capacities of PCB holders for sound PCB management 2.PCB holder-wise management and replacement plans 3.PCB inventory expanded and updated 4.Enhanced PCB analysis preparedness at State Hydro-meteorological services and Ministry of Health laboratories 5.Risk based priority setting tools for PCBs management initiatives developed	- Those participants who attended on-the-job training displayed a great interest in the issue.			- Create a team that will be permanently working in the country with regard to the Stockholm Convention. - Continue arranging training courses, especially on topics Environmental Risks and PCB Management System.
Outcome 3. Replacement, setting-up safe dismantling of 850 tons of PCB transformers and their safe	1.Phase-out and procurement of replacement transformers planned and scheduled 2.Transformers disconnected, drained,	- In the region there was an experience of a similar project in Latvia. In the first case it was easier to arrange			- It should be understood what is more economically sound – to construct a plant in the territory of Kazakhstan, or transport.

disposal	dismantled and cleaned, metals recycled 3.Disposal of oil and associated waste	transportation. In Kazakhstan geographically there is no access to the sea, consequently, it is more problematic to transport to Germany (where the waste utilization plant is located). Transportation through Russia is a complicated issue and will take some time. Maybe, it is worth considering a transportation option through the Caspian Sea. It is important to understand that for Tajikistan and Uzbekistan transportation and waste issues will be more difficult.			
ArcelorMittal, KazakhMys, KAPUR – PCB capacitors and PCB holders					
Outcome 1. Regulatory and administrative strengthening	1.Environmental Code and other PCB related legislation reviewed, changes developed	- Enterprises understand that PCB is hazardous and, accordingly, take			24 An issue of waste utilization should be resolved in Kazakhstan by the year of 2028. Speaking of the project sustainability, it is necessary to think of

for sound PCB management	2.Responsibilities vis-à-vis International Chemicals; Conventions in the gov-t re-aligned. 3.Detailed PCB Rules, guidelines developed 4.Capacity for implementing and knowledge of PCB regulations and guidance among public sector actors 5.Awareness raising campaigns on PCB risks and regulatory requirements among authorities and wider public conducted	measures. - It was adopted legally, and MEP should manage it, i.e. there should be a single register where all the data on PCB waste of enterprises will be collected.			how a local organization will assume responsibility for continuing the work that was started in the project. 25 It is important to hold accreditation and start expert review in Kazakhstan's laboratories. 26 It is important to hold information campaign among the community, distribute brochures, booklets so that liquids are not discharged from transformers because of being unaware.
Outcome 2. Capacity building for sound PCB management, identification of additional PCB sources	1.Improved capacities of PCB holders for sound PCB management 2.PCB holder-wise management and replacement plans 3.PCB inventory expanded and updated 4.Enhanced PCB analysis preparedness at State Hydro-meteorological	- Enterprises conduct trainings on how to remove liquid with sovtol from transformers and training courses dedicated to other topics.			

	services and Ministry of Health laboratories 5.Risk based priority setting tools for PCBs management initiatives developed				
Outcome 3. Replacement, setting-up safe dismantling of 850 tons of PCB transformers and their safe disposal	1.Phase-out and procurement of replacement transformers planned and scheduled 2.Transformers disconnected, drained, dismantled and cleaned, metals recycled 3.Disposal of oil and associated waste	- Concentrated sovtol transformers in one place. Separated from other transformers and from personnel's access to such separate building. It is important to transport the first batch, the enterprise can independently transport the remaining part. - Enterprises developed a program starting from 2013 for 7-8 years which helps extract transformers.			- For enterprises it is important that the state would create conditions for transportation of PCB-containing substances at an acceptable price.
NGO "EcoMuzeum", Karaganda					

Outcome 1. Regulatory and administrative strengthening for sound PCB management	1.Environmental Code and other PCB related legislation reviewed, changes developed 2.Responsibilities vis-à-vis International Chemicals; Conventions in the gov-t re-aligned. 3.Detailed PCB Rules, guidelines developed 4.Capacity for implementing and knowledge of PCB regulations and guidance among public sector actors 5.Awareness raising campaigns on PCB risks and regulatory requirements among authorities and wider public conducted	• Ecomuseum is actively participating in the project on all matters, being involved in the discussion of amendments to the legislation and taking part in taking inventory.			• There is some misunderstanding in the Guidelines, therefore, the Guidelines will have to be amended and changed so that interpretation of some paragraphs will be understandable to everyone in the same way.
Outcome 2. Capacity building for sound PCB management, identification of additional PCB sources	1.Improved capacities of PCB holders for sound PCB management 2.PCB holder-wise management and replacement plans 3.PCB inventory expanded and updated			Departments of ecology in the regions, other nonprofit organizations	- It is important to train and inform the community, enterprises and state officials on a permanent basis.

	4.Enhanced PCB analysis preparedness at State Hydro-meteorological services and Ministry of Health laboratories 5.Risk based priority setting tools for PCBs management initiatives developed				
Outcome 3. Replacement, setting-up safe dismantling of 850 tons of PCB transformers and their safe disposal	1.Phase-out and procurement of replacement transformers planned and scheduled 2.Transformers disconnected, drained, dismantled and cleaned, metals recycled 3.Disposal of oil and associated waste	- An issue of the plant construction needs to be studied very carefully, if such issue will be considered seriously. Because there were examples in the European countries when leakage had occurred. If violations were made given the European thoroughness and culture, then in our countries a human factor will of course play a great role. It is important to have good specialists.			- The project helps comply with international standards. If an issue of the plant construction is considered, it will be important to get the community involved in the performance of a Feasibility Study.
World Bank					

Outcome 1. Regulatory and administrative strengthening for sound PCB management	1.Environmental Code and other PCB related legislation reviewed, changes developed 2.Responsibilities vis-à-vis International Chemicals; Conventions in the gov-t re-aligned. 3.Detailed PCB Rules, guidelines developed 4.Capacity for implementing and knowledge of PCB regulations and guidance among public sector actors 5.Awareness raising campaigns on PCB risks and regulatory requirements among authorities and wider public conducted	2 The project of the World Bank is aimed at performing a Feasibility Study on possible construction of the plant. The project is awarded in the form of a grant to the government of the Republic of Kazakhstan. Currently, the project is pending signing in the government. The process of documents signing is delayed.			
UNDP, country office in Astana-Kazakhstan					
Outcome 1. Regulatory and administrative strengthening for sound PCB	1.Environmental Code and other PCB related legislation reviewed, changes developed	• The main activity in the beginning of the project was aimed at implementing the			It is important to think of Exit Strategy for the project, i.e. what steps and actions will be developed after the project completion, what will be a mechanism of the project sustainability. It is necessary to think

management	2.Responsibilities vis-à-vis International Chemicals; Conventions in the gov-t re-aligned. 3.Detailed PCB Rules, guidelines developed 4.Capacity for implementing and knowledge of PCB regulations and guidance among public sector actors 5.Awareness raising campaigns on PCB risks and regulatory requirements among authorities and wider public conducted	first and second components. The third component encounters some problems, and the fourth component has not started yet. • Green Economy document will be useful. • The project allowed local enterprises to take a different view of the inventory process. In the previous UNDP project in 2003, when training for enterprises was conducted, everybody said that there was no PCB-containing equipment. Then it was really determined without confirmation. Now according to the approved regulations enterprises may check PCB			about it already now. Maybe, to think over the strategy of getting involved some structure, for example, KazNIEC. To build their capacity, and they will be able to raise money and exercise control over the transportation process.

		presence by means of tests. Also, it is specified that it is necessary to make gas-chromatographic analysis.			
Outcome 2. Capacity building for sound PCB management, identification of additional PCB sources	1.Improved capacities of PCB holders for sound PCB management 2.PCB holder-wise management and replacement plans 3.PCB inventory expanded and updated 4.Enhanced PCB analysis preparedness at State Hydro-meteorological services and Ministry of Health laboratories 5.Risk based priority setting tools for PCBs management initiatives developed	4 The project will know the quantity required for transportation after an inventory is taken. The project should know about small companies, not only ArcelorMittal.			Currently, the problem is to collect all the information after inventory on the web-site of MEP. Perhaps, it is necessary to create a database of PCB-containing equipment by the example of Macedonia.
Outcome 3. Replacement, setting-up safe dismantling of 850 tons of PCB transformers	1.Phase-out and procurement of replacement transformers planned and scheduled 2.Transformers				The most sensitive issue relates to transportation. It is important to negotiate possible options for transportation, including using mechanisms of inclusion of transportation issues through the mechanism of the Customs Union or

and their safe disposal	disconnected, drained, dismantled and cleaned, metals recycled 3.Disposal of oil and associated waste				Shanghai Cooperation Organization, EurAsEC and other.
Outcome 4. Regionally organized of oils and associated waste	1.Secure, temporary PCB storage facilities identified, constructed 2.Safe operation of storage sites secured 3.PCB collection and disposal put in place and implemented 4.15,000 PCB capacitors at Darial-U Capacitor site disconnected, packed and stored 5.Clean-up premises and pack all potentially PCB contaminated wastes. 6.Transportation and disposal of approximately 600 tons of PCBs and associated waste disposed.	5 The strategy for the fourth component implementation has been revised. I.e. there is no need in making storage facilities by regions, but every enterprise will arrange a storage facility and waste disposal.		14 Astana-Nan is a main partner for PCB packing and storage.	Indicators are not realistic. Project should think about justification for quantity of tons for transportation. Justify what amount of waste can be removed by the end of the project, and how many resources should be transferred from component 3 to component 4 in the budget.
Outcome 5. Monitoring, learning, adaptive	1.M&E and adaptive management applied to project in response to needs and to extract lessons	e. The issue of project co-financing will be resolved, but the			

feedback, outreach and evaluation	learned 2.Lessons learned and best practices are replicated at the national level	sources may be not ones that were planned and promised when an application was written. f. In the second half of the project, the project team has to identify entry points as a financing of KZ Government.			

Annex 5

DESIGN AND EXECUTION OF A COMPREHENSIVE PCB MANAGEMENT FOR KAZAKHSTAN

MID- TERM EVALUATION

List of Documents reviewed

1. Project Quarterly Progress Reports

2. Steering Committee Meeting Minutes

3. Annual Work Plan (2010, 2011, 2012)

4. Minutes of National Inception Workshop

5. Project Document

6. Project inception report

7. Project Implementation Report

8. Mission Report- Mickovksi Aleksandar, PCB Management Consultant

9. Risk Management Report for export tender (transformers and capacitors) elaborated by Emilia Wahlstrom, Programme Analyst

10. PCB Risks reports 2010-2012

11. Annual Project Review (2011, 2012)

12. Kazakhstan CEO endorsement

13. Technical guidelines produced

- PCB final draft disposal guidelines
- PCB Risk Assessment Guidelines
- Instructions for storage of PCB wastes
- Monitoring Design for POPs Network
- PCB Management Plan preparation guidelines
- Risk Assessment Manual

Annex 6 a

2.2.1 Interview Guide
Project Director

Name ……. Date …...

Institution…….

Position……..

Project role ……

This is a structured interview guide for the Project Director with the purpose of obtaining his/her impressions with respect to the UNDP/ GEF funded project, "Design and Execution of a Comprehensive PCB Management Plan for Kazakhstan".

We appreciate the time and ideas that will contribute to enhance the mid-term evaluation process that is being developed for this project.

1. From your perspective as Project Director:

a. What are the project's mayor contributions to PCB management in Kazakhstan?

b. What are some of the main strengths that the country has to implement projects of this nature?

c. What are some of the principal difficulties that have been encountered in the development of a project of this nature in your country?

2. From your role as Project Director in the development of this project. What would some of the lessons learned to this date?

3. what are the main contributions that the Ministry of Environmental Protection has given to the development of this project?

4. If you could develop another project related to the same topic, what suggestions would you make to be considered to facilitate the design and implementation process in this country?

5. What would be the country's loss if this project had not been implemented?

6. Do you have any recommendations regarding corrective action in relation to the project development for what is left to its termination? Please indicate them.

7. Other comments that you are interested in giving with respect to the project execution.

Annex 6 b

2.2.2 Interview Guide
Project Manager

Name ……. Date …...

Institution…….

Position……..

Project role ……

This is a structured interview guide for the Project Manager with the purpose of obtaining his/her impressions with respect to the UNDP/ GEF funded project, "Design and Execution of a Comprehensive PCB Management Plan for Kazakhstan".

We appreciate the time and ideas that will contribute to enhance the mid-term evaluation process that is being developed for this project.

1. How is PCB management in Kazakhstan benefited from the contributions made with this project?

2. What facilities does the Ministry of Environmental Protection provide to support the development of this project in your country?

3. What are the main support functions that you give the project?

4. What difficulties have been encountered to support the development of different project components?

5. What components have presented the mayor difficulty for their implementation? What makes these parts so difficult?

6. From your role as Project Manager, what are some of the lessons learned in the project development?

7. Do an integral assessment of the level of development that the project has reached in its implementation process, from the expectations that you had from the beginning of the process.

8. Do you have any recommendation regarding the actions to be taken to improve the project development in the remaining time left until the project termination? Please indicate them.

Annex 6 c

2.2.3 Interview Guide
Project Stakeholders- PCB owners

Name ……. Date …...

Institution…….

Position……..

Project role ……

This is a structured interview guide for the Project Stakeholders – PCB owners with the purpose of obtaining his/her impressions with respect to the UNDP/ GEF funded project, "Design and Execution of a Comprehensive PCB Management Plan for Kazakhstan".

We appreciate the time and ideas that will contribute to enhance the mid-term evaluation process that is being developed for this project.

1. What are the main contributions that the project has provided for the improvement of PCB management in your country?

2. What are your recommendations for the project design phase and the stakeholder participation in it for a project such as this one?

2. What are the main activities that your company has participated in this project?

3. What support have you received the project Management to fulfill your support your responsibilities for the environmentally sound management of PCBs in your country?

4. From your perspective, what are the principal project achievements in the process of development and implementation?

5. What are the lessons learned in the project development?

6. Faced with the actions that are programmed for the years 2012-2014 what recommendations would you make in relation to the support you would need for your participation and support to the project is easier?

Annex 6 d

2.2.4 Interview Guide
Project Stakeholders- Institutions

Name ……. Date …...

Institution…….

Position……..

Project role ……

This is a structured interview guide for the Project Stakeholders – Instituions with the purpose of obtaining his/her impressions with respect to the UNDP/ GEF funded project, "Design and Execution of a Comprehensive PCB Management Plan for Kazakhstan".

We appreciate the time and ideas that will contribute to enhance the mid-term evaluation process that is being developed for this project.

1. What are the main contributions that the project has provided for the improvement of PCB management in your country?

2. What are the main support functions that your institution has provided the project?

3. What support have you received from your institution to fulfill your support functions for this project?

4. From your perspective, what are the principal project achievements in the process of development and implementation?

5. What are the lessons learned in the project development?

6. Faced with the actions that are programmed for the years 2012-2014 what recommendations would you make in relation to the support you would need for your participation and support to the project be easier?

3 ANNEX 4 – RATE TABLES

Table 1. Status of objective / outcome delivery as per measurable indicators

OBJECTIVE	MEASURABLE INDICATORS FROM PROJECT LOGFRAME	END-OF-PROJECT TARGET	STATUS OF DELIVERY*	RATING**
Objective : To enhance the capacity for safe management of PCB oil and PCB-containing equipment at all stages of the PCB management cycle in Kazakhstan	Clear regulation anchored scheme for PCB management with identified roles and deadlines in Kazakhstan established.	1. Environmental Code amend-ment and technical specifications adopted. And integrated by environmental authorities. 2. Clear PCB reporting and enforcement set up nationally. PCB holder submitted management plans integrated in environmental inspections.	1. Completed - regulation in place and Eco Code amendment established. 2. Partially completed since the regulation sets up the reporting but the enforcement is just getting started. Some of the management plans have been presented.	HS Marginally satisfactory

	Site and regional based PCB disposal systems developed and demonstrated from planning to disposal.	1. One major PCB capacitors and one major PCB transformer site management demonstrated from planning to disposal. Resulting in 1,400 tons PCB waste processed. 2. Regionally based PCB collection/disposal scheme in place with 200 tons PCB waste processed.	1. This target has yet to be obtained although the two tenders for capacitor and transformer disposal have been completed. They still have the export transit route for sending abroad to disposal. The idea of a regional collection disposal scheme was changed to one collection-storage location, ASTANA NAN. There has not been any waste sent there yet but the conditions are almost ready.	Marginally satisfactory Marginally Satisfatory
OUTCOMES	**MEASURABLE INDICATORS FROM PROJECT LOGFRAME**	**END-OF-PROJECT TARGET**	**STATUS OF DELIVERY**	**RATING**
Outcome 1: Regulatory and administrative strengthening for sound PCB management	1. Proposed changes in Environmental Code and changes in associated laws finalized.	1. Fully consulted proposal submitted 1 year.	Completed	Highly satisfactory

	2. Changes ensuring safe PCB management in Env. Code adopted.	2. Legislation adopted within 2 years.	Completed	Highly satisfactory
	3. Development of technical guidance implementing PCB regulative framework	3. 5 guidance documents covering various stages and stakeholders of PCB life-cycle	Completed by international consultants and used Training workshops	Highly satisfactory
	4. Development and adoption of PCB environ-mental and food quality guidelines	4.Specific quality guidelines developed covering abiotic environment and food	There was no evidence of this outcome having been completed.	Marginally unsatisfactory
Outcome 2: Capacity building for sound PCB management, identification of additional PCB sources	1. Number of PCB holder management plans developed.	1. All PCB holding companies submit management plans.	There was evidence of a few management plans having been presented. The project has helped the companies in the elaboration of their plans and more are expected to be presented soon.	Satisfactory
	2. Number of PCB holder replacement plans developed.	2. 20 plans during 3 first years of project	This has not yet been achieved.	Marginally Satisfactory
	3. Number of new	3. 100 additional	The Ministry of Defense has problems in authorizing	Marginally

	approaches for PCB data collection initiated. (Separate investigation for Min. of Defense, collection through Ministry of industries channels, reward system)	companies surveyed. Complete PCB data from Ministry of defense.	Outsiders to do the PCB inventory in their installations. The Ministry of Defense will have to do their own Inventory which may take some time.	Satisfactory
Outcome 3: Replacement, setting-up safe dismantling of 850 tons of PCB transformers and their safe disposal	1. Company phase out plans developed.	1.106 PCB transformer	This outcome has yet to be fulfilled in the amount of PCBs to be phased out. The companies are still working on the developing of their phase out plans which depend also on the feasibility to export for disposal.	Marginally satisfactory
	2. Safe workshop and storage assigned up dated for PCB dismantling and storage.	2(a). Safe transformer storage facility established within second year of project. 2(b). Disconnection and dismantling personnel fully trained for safe PCB handling	This has been practically completed with the establishment of the collection and storage facilities at ASTANA NAN. These facilities are still being prepared and have not yet received any equipment. This has yet to be completed. The companies that have won the elimination tenders will be providing training in these aspects as part of their field services responsibilities. There are also guidelines that have been prepared by the International experts in this field. In company training is Still pending.	Satisfactory Satisfactory
	3. Number of PCB contaminated	3. 30 transformers phased-out and	This has yet to be completed. Two tenders have been completed For disposal of transformers and capacitors. There is still pending	Marginally

	transformers drained and dismantled.	replaced within 36 months of project implementation. Replacement plan for all transformers accepted by end year 4.	the individual company phase out programs that are part of the PCB management plans that are being developed.	satisfactory
	4. Tons of PCB contaminated oil and associated waste disposed through exports	4. Target: 850 tons of PCB waste safely disposed.	Not yet completed. It has serious problems until there is a viable Export transit route and Basel Convention Movement approval to send contaminated equipment to industrial treatment facilities. Negotiations are underway to open transit through Russia but this is still not a defined possibility.	Marginally satisfactory
Outcome 4: Regionally organized secure storages and disposal of PCB capacitors	1. Storage manned with professional workers	1. All storage personnel undergone safe handling, fire, spill containment training.	Storage personnel at ASTANA NAN will receive training from the international waste management company upon collection and temporary storage for export. This has yet to be done .	Marginally satisfactory
	2.System of storages operational	2. PCB waste received within 36 months of project inception	Pending due to not having a viable export route yet defined.	Marginally satisfactory
	3. Disposal of regionally collected PCB containing equipment and waste.	3. 200 tons of PCB equipment and waste disposed.	Not yet completed and has a High risk due to export route.	Marginally unsatisfactory.

	4. Tons of PCB capacitors disposed from Darial-U site	4. All Darial-U capacitors disposed by end year 4.	These capacitors were already removed .	Satisfactory

3.2.1.1.1.1

3.2.1.1.1.2 Status of delivery colouring codes:

Green / completed – indicator shows successful achievement

Yellow – indicator shows expected completion by the end of the project

Red – Indicator show poor achievement - unlikely to be complete by end of Project

Annex 8

Table 2: Project ratings

PROJECT COMPONENT OR OBJECTIVE	RATING SCALE						RATING
	HU	U	MU	MS	S	HS	
PROJECT CONCEPT/DESIGN, RELEVANCE AND STRATEGY							
Project relevance, country ownership/drivenness							**HS**
Stakeholder involvement							**S**
Management arrangements							**S**
Project budget and duration							**HS**
Design of project M&E system							**HS**
PROJECT IMPLEMENTATION							
Adaptive management							**S**
Monitoring systems							**HS**
Risk management							**HS**
Work planning							**S**
Financial management							**S**
Reporting							**HS**
Delays							**S**
Stakeholder participation, partnership strategy							
Production and dissemination of information							**HS**
Local resource users and NGOs participation							**S**
Establishment of partnerships							**S**
Involvement and support of governmental institutions							**HS**
PROJECT RESULTS (see table 1)							**S**
OVERALL PROJECT ACHIEVEMENT & IMPACT							**S**

Annex 9

FUNDING FOR PCB PROJECT				
	KZT	**USD**	**TOTAL USD**	
1. Ministry of Environmental Protection - support of project components*				*Letter dated 20.5.2009*
Parallel	*42 975 000*	***286 500***	*384 661,3*	
In-kind	*14 724 200*	***98 161***		
2. Ministry of Environmental Protection - transportation of capacitors from Daryal U site				*Letter dated 30.12.2008 (English translation dated 20.5)*
Parallel	*1 386 970 900*	***11 558 090,8***	*11 791 865,4*	
In-kind	*28 052 955*	***233 774,6***		
3. Ministry of Environmental Protection - transportation of capacitors from Daryal U site 2009-2010*				*Letter dated 07.08.2009*
Parallel	*1 173 000 000*	***7 820 000,0***		
JUWENTA DB Gmbh				
Parallel		**2 983 000,0**		
4. Ministry of Environmental Protection - TOTAL				*Letter dated 01.12.2009*
Parallel	1 285 000 000	**10 522 581,000**	10 901 356,0	
In-kind	45 453 000	**378 775,00**		
Arcelor Mittal				
Parallel		**3 475 000**	3 475 000	
JSC Zhezkazgan Distribution Electric Networking Company (JREK)				
Parallel	3 781 584	**25 211**	25 211	
Atyrau Oil Refinery Plant (AORP Ltd.)				
Parallel	8 792 203	**58 615**	58 615	
JSC Aktobe Plant of Chrome Compounds (AZHS)				
Parallel		**76 500**	76 500	
UNDP				
Cash		**15 000**	15 000	
GEF				
		3 300 000	3 300 000	
TOTAL		**20 834 681,2**		
* MEP Total:				
Parallel	8 106 500,0			
In-kind	98 161			

CO-FINANCING FIGURES FOR PROJECT 71180					
According to PRODOC	**Companies/ Organizations**	**Expected sum / US$**	**Already committed**	**Plannned**	**Comments**
	Government/MEP	10 522 581	9 775 000	384 661	See comments in cells
	ArcelorMittal	3 475 000	210 000	26 667	See comments in cells
	Juventa DB	2 983 000	0	0	Company does not exist anymore; co-financing won't materialize
	Aktobe Plant of Chrome compounds / Kazchrome	76 500			Confirmed by the official letter from TNK KazChrome
	Atyrau oil refinery plant	58 615	0		Might participate in next export.
	JREK	25 211	0	0	Due to negative lab results, company not participating in first tender.
	Government/in kind	378 775	112 094	266 681	In-kind amount confirmed by MEP (Nina Gor) in October 2012.
	Total	17 519 682	10 097 094	678 009	
Additional leveraged co-financing	Aksu Plant of Chrome Compounds / Kazchrome		1 120 123	902 441	Amount of co-financing confirmed in October 2012; planned costs includes replacement costs of around 4000 capacitors
	Alatau Zharyk Company		36 057		Amount of co-financing confirmed in October 2012
	Energougol			10 000	Commitment letter requested; to be provided in November 2012.
	Czech Trust Fund		56 860		Confirmed by UNDP BRC in October 2012.
	SAICM QSP TF		246 543		Sound management of chemicals and mainstreaming; supporting regulatory and institutional capacity and awareness
	Lab trainings (venue, catering)		5 000		Commitment letter requested; to be provided in November 2012.
	Lab trainings travel of participants		3 000		Commitment letter requested; to be provided in November 2012.
	Total		1 467 583	912 441	
TOTAL		**17 519 682**	**11 564 677**	**1 590 450**	

Annex 10

Award ID:	**00057559**
Award Title:	**PIMS 3477 POPs FSP: PCB Management in Kazakhstan**
Business Unit:	**KAZ10**
Project Title:	**Design and Execution of a Comprehensive PCB Management Plan for Kazakhstan**
Project ID: PIMS no.	**00071180, PIMS 3477**
Implementing Partner (Executing Agency)	**NEX Ministry of Environmental Protection- Republic of Kazakhstan**

	GEF Outcome/Atlas Activity	Responsible Party/ Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Expenditure Year 1*	Expenditure Year 2 (USD)	Expenditure Year 3 (USD)/11.10.12	Total
	1. Regulatory and administrative strengthening for sound PCB management	NEX	62000	GEF	71200	Intl Consultants	52 500,00	40 773,74		93 273,74
					71300	Local Consultants	58 503,03	14 421,57		72 924,60
					72100	Contractual services	20 474,56	8 035,10		28 509,66
					71600	Travel (in-land & int.)	26 457,76	7 742,93		34 200,69
					72100	Workshops				0,00
					72400	Communication	801,61			801,61
					72400	Audio Visual	2 720,97			2 720,97
					72500	Publications		11 797,48		11 797,48
					73100	Rental		8 012,75		8 012,75
					74500	Misc	6 253,90	1 445,04		7 698,94
					74700	Transport,		149,07		149,07

						Shipping				
						Total Outcome 1	**167 711,83**	**92 377,68**	**0,00**	260 089,51
	2. Capacity building for sound PCB management, identification of additional PCB sources.	NEX	62000	GEF	71200	Intl Consultants	5 286,93	26 982,11		32 269,04
					71300	Local Consultants	4 658,06	28 171,78		32 829,84
					71400	SC		5 683,96		5 683,96
					71600	Travel		46 853,91		46 853,91
					71600	Travel-UNDP		2 999,06		2 999,06
					72100	Contractual services	188,44	29 167,14		29 355,58
					72200	Op&Safety disposables	31 376,01	0,00		31 376,01
					72100	Workshops		14 434,72		14 434,72
					72500	Supplies		3 847,89		3 847,89
					74500	Misc	1 300,22	8 490,04		9 790,26
						Total Outcome 2	**42 809,66**	**166 630,61**	**0,00**	**209 440,27**
	3. Replacement, setting-up safe dismantling of 850 tons of PCB transformers and their safe disposal.	NEX	62000	GEF	71200	Intl Consultants		28 134,15		28 134,15
					71300	Local Consultants	7 716,99	18 395,03		26 112,02
					71600	Travel	8 197,34	5 425,40		13 622,74
					71600	Travel-undp		0,00		0,00
					72100	Contractual services		369,31		369,31
					72400	Connectivity		5 337,28		5 337,28
					74500	Misc	57,00	1 124,94		1 181,94
						Total Outcome 3	**15 971,33**	**58 786,11**	**0,00**	**74 757,44**
	4. Regionally organized secure	NEX	62000	GEF	71200	Intl Consultants	9 100,00	0,00		9 100,00
					71300	Local Consultants	6 706,14	1 663,57		8 369,71

	storages and disposal of PCB capacitors				71400	SC		229,02		229,02
					71600	Travel	17 726,53	3 799,66		21 526,19
					72100	Contractual services	10 406,56	17 164,26		27 570,82
					72200	Op&Safety disposables				0,00
					72300	Materials&Goods		19 998,85		19 998,85
					72200	Equipment				0,00
					74500	Misc	1 948,15	64,60		2 012,75
					75700	Workshops		582,56		582,56
						Total Outcome 4	**45 887,38**	**43 502,52**	**0,00**	**89 389,90**
	5. Monitoring, leaning, adaptive feedback, outreach and evaluation	NEX	62000	GEF	71200	Intl Consultants	0,00			0,00
					71300	Local Consultants	0,00			0,00
					71600	Travel				0,00
					72100	Workshops				0,00
					72100	Contractual services		308,77		308,77
						Total Outcome 5	**0,00**	**308,77**	**0,00**	**308,77**
	Project Management	NEX	62000	GEF	71200	Contractual Services - Companies				0,00
		NEX	62000	GEF	71401	Contractual Services - Individ	32 699,47	39 238,16		71 937,63
		NEX	62000		71600	Travel				0,00
			04000	UNDP	71600	Travel	3 000,00			3 000,00
		NEX	62000	GEF	72200	Equipment	5 665,07	0,00		5 665,07
		NEX	62000	GEF	72400	Comm	5 010,26	1 358,97		6 369,23
		NEX	62000	GEF	73500	Reimbursement		131,18		131,18

		NEX	62000	GEF	74200	Audio vusial		834,10		834,10
		NEX	62000	GEF	74500	Miscellaneous (Audit)	7 237,14	1 797,64		9 034,78
						Total Management	**53 611,94**	**43 360,05**	**0,00**	**96 971,99**
						PROJECT TOTAL	**325 992,14**	**404 965,74**	**0,00**	**730 957,88**

* Real figure (from CDR) is around 4000 USD less in total.

Annex 11

Type of workshop	Date	Topic	Related to project component	Directed on	Total number of participants	Number of women	Number of men	% W	%M
Inception workshop	25 June 2010	introduction to the project	1	All stakeholders	49	19	20	39	41
National workshop in Burabay	1-5 November 2010	Establishment of the legislative base	1	All stakeholders (Ministries, enterprises, NGO)	24	10	14	42	58
Regional educational and awareness raising workshop in Ust Kamenogorsk	30-31 November 2010	Inventory rules and safe PCB handling	2	Region enterprises, ecology departmnets, NGOs	17	6	11	35	65
Educational and awareness raising workshop for AES	2 December 2010	Inventory rules and safe PCB handling	2	Region enterprises, ecology departmnets, NGOs	22	10	12	45	55
Educational and awareness raising workshop for Kazzinc	3 December 2010	Inventory rules and safe PCB handling	2	Region enterprises, ecology departmnets, NGOs	10	0	10	0	100
Regional educational and awareness raising worksho in Pavlodar	6-7 December 2010	Inventory rules and safe PCB handling	2	Region enterprises, ecology departmnets, NGOs	15	7	8	47	53
Regional educational and awareness raising workshop	20-21 December	Inventory rules and safe PCB	2	Region enterprises,	16	4	12	25	75

in Karaganda	2010	handling		ecology departmnets, NGOs					
Educational and awareness raising workshop for the Ministry of Emergency Situations	28 June 2011	Inventory rules and safe PCB handling	1	Region enterprises, ecology departmnets, NGOs	25	6	19	24	76
Educational and awareness raising workshop for Arcelor Mittal Temirtau + Kazchrome	21 June 2011	Inventory rules and safe PCB handling, Packaging of PCB capacitors	2, 3, 4	Ecology and electrical equipment related workers of the company	66	15	51	23	77
Educational and awareness raising workshop for Aksu Ferro-Alloys Plant	13 September 2011	Inventory rules and safe PCB handling, Pilot inventory	2	Ecology and electrical equipment related workers of the company					#ДЕЛ/0!
Regional educational and awareness raising workshop in Aktau	25 July 2011	Inventory rules and safe PCB handling	2	Region enterprises, ecology departmnets, NGOs	43	21	22	49	51
Regional educational and awareness raising workshop in Atyrau	27 July 2011	Inventory rules and safe PCB handling	2	Region enterprises, ecology departmnets, NGOs	37	16	21	43	57
Educational and awareness raising workshop for Karachaganak Petroleum Operating	30 July 2011	Inventory rules and safe PCB handling	2	Ecology and electrical equipment related workers of the company	7	3	4	43	57
Regional educational and awareness raising workshop	1 August 2011	Inventory rules and safe PCB	2	Region enterprises,	15	6	9	40	60

in Kokshetau		handling		ecology departmnets, NGOs					
Regional educational and awareness raising workshop in Petropavlovsk	17 August 2011	Inventory rules and safe PCB handling	2	Region enterprises, ecology departmnets, NGOs	16	5	11	31	69
Regional educational and awareness raising workshop in Kostanai	19 August 2011	Inventory rules and safe PCB handling	2	Region enterprises, ecology departmnets, NGOs	10	4	6	40	60
Regional educational and awareness raising workshop in Shymkent	15 September 2011	Inventory rules and safe PCB handling	2	Region enterprises, ecology departmnets, NGOs	29	13	16	45	55
Regional educational and awareness raising workshop in Taraz	17 September 2011	Inventory rules and safe PCB handling	2	Region enterprises, ecology departmnets, NGOs	9	3	6	33	67
Regional educational and awareness raising workshop in Kyzylorda	19 September 2011	Inventory rules and safe PCB handling	2	Region enterprises, ecology departmnets, NGOs	19	5	14	26	74
Regional educational and awareness raising workshop in Almaty	26 September 2011	Inventory rules and safe PCB handling	2	Region enterprises, ecology departmnets, NGOs	19	10	9	53	47

KazMunaiGas	26 October 2011	Inventory rules and safe PCB handling	2	Ecology and electrical equipment related workers of the company	15	7	8	47	53
Laboratory trainings in Brno	21-25 November 2011	Introduction to PCB analyses	2	State laboratories	8	8	0	100	0
Educational and awareness raising workshop on Petropavlovsk power station	29 November - 1 December 2011	Inventory rules and safe PCB handling, Pilot inventory	2	Ecology and electrical equipment related workers of the company	18	7	11	39	61
International workshop	12-14 Varch 2012	PCB life-cycle management, disposal technologies	1	State bodies, enterprises, NGOs, research institutions (with participation of international consultants and 5 international disposal companies)	65	28	37	43	57
Laboratory trainings in Almaty	29 May- 31 June 2012	Practical trainings on PCB analyses	2	State and private laboratories	27	24	3	89	11
Laboratory trainings in Astana	4-6 June 2012	Practical trainings on PCB analyses	2	State and private laboratories	12	11	1	92	8
Monitoring workshop	6 June 2012	Review of world system and discussion and design of the POPs monitoring system for Kazakhstan		Interested Ministries: MEP, MH, MA, Kazhydromet	10	8	2	80	20

Packaging training in Stepnogorsk	12 September 2012	Inventory rules and safe PCB handling, PCB equipment packaging	4	workers of AstanaNan company (storage facility for capacitors' tender)	14	5	11	36	79
Ministry of Defense	18 October 2012	Inventory rules and safe PCB handling	2	represetatives of the Ministry of Defense (responsible for inventory in regions)	37	16	21	43	57
MEP, ecology departments	19 October 2012	Inventory rules and safe PCB handling	1	State inspectors of the regional ecology departments of Ministry of environmental protection	13	5	8	38	62
					667	**282**	**377**	35	35

The Mid-Term Evaluation Prepared by:

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