# Annex 6. Social and Environmental Screening

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. Please refer to the <u>Social and Environmental Screening Procedure</u> for guidance on how to answer the 6 questions.]

## **Project Information**

Project Information		
Project Title	1	ement in steppe and semi-arid zones through integrated territorial planning and
2. Project Number	agro-environmental incentives 00094050	· · ·
3. Location (Global/Region/Country)	Kazakhstan	,

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

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

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

The project upholds the following principles as described below:

- Accountability and the rule of law: the project will follow all standard UNDP policies on monitoring, evaluation, audits, and transparency in project implementation. The legal context of the project is defined by the CPAP signed by the Government and UNDP, which incorporated by reference constitute together a Project Document as referred to in the SBAA, and all CPAP provisions apply to this document.
- Participation and inclusion: At the national, oblast, rayon, and rural okrug levels, the project will engage multiple and diverse institutions, organizations and stakeholder groups. Their current and expected roles are summarized in Table 2 of the UNDP Project Document.
- Equality and non-discrimination: In designing and carrying out project activities, the project does not discriminate on the grounds of race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. UNDP has ensured the meaningful, effective and informed participation of stakeholders in the formulation of the project, and will continue to do so in implementation, monitoring and evaluation.

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

The project covers a geographic region with an estimated population of nearly 200,000 people, of which women constitute 43%. UNDP-GEF's annual reporting on its in-situ conservation and SLM projects (for example, conservation of agro-biodiversity or wetland ecosystems, sustainable rangelands management) has revealed that women have become a key partner in rural communities, as they are more receptive to new concepts and more willing to shift to ecosystem-friendly practices, provided that they generate enough income for a household. This project will, therefore, place particular emphasis on ensuring that women are well represented in project implementation and

that the impact of project activities on women will be considered.

### Representation of women in institutions

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Many rural women have no college or higher education. In central towns of rural districts (rayons), the share of women with college or higher education is considerably higher. In the villages and rural districts targeted by the Project, women are visible members of society comprising up to 95% of the staff in state-funded organizations and institutions (schools, kindergartens, medical institutions), as well as in the area of agricultural products processing.

In terms of staff composition in pilot district and rural okrug akimats, women comprise about 20-30% on average, largely occupying low-level management positions (department specialists and experts, secretaries). Out of 11 heads (akims) of districts (rayons), rural okrugs and villages targeted by demonstration projects, two (2) akims are women. In the Denisovsky rural okrug of Kostanai Oblast where 18,304 hectares of land area is to be the target of sustainable land management, for example, women's representation is the highest – the head and deputy head of the akim are women, as well as the heads of departments.

Among agricultural producers and farmers, women account for up to 40%. Four (4) non-governmental organizations will participate in implementation of demonstration projects, one of which is a women's organization (Zher-Ana Astana Public Association).

Public women's councils operate in some target villages/ districts. However, as a public body, they are not active enough. Their activities are mainly limited to working together with the akimat on arranging events for International Women's Day, International Children's Day, and others. Women's councils of rural districts do not properly communicate with women's organizations at the rayon level in arranging workshops and training courses on women's entrepreneurship.

### Participation of women in decisions related to natural resource management

The Project's demonstration component will be realized largely in rural areas. In theory, women have equal opportunities but, in practice, due to circumstances (lack of jobs) they are engaged in housework, livestock maintenance, backyard gardening, harvesting food for winter (butter, jam, Kurt, etc.), and bringing up children.

Women are not sufficiently engaged in and aware of discussions on and resolution of issues on sustainable use of land and water resources taking place at the district, regional and national levels. This stems from the fact that no local mechanism has yet been set up (e.g. a local self-governance council) that would ensure active participation and influence of women in decision-making for sustainable management of land, pasture and water resources.

### Participation of women in project implementation

The project provides equal opportunities for men and women by considering all aspects of gender equality, i.e. equal rights during production and distribution of agricultural products. Workload is expected to be distributed in such a way that men will be largely engaged in field works while women will be active in preparation of seminars, training, project events, as well as processing of agricultural products. Men and women will benefit equally from the project.

With implementation of nine (9) demonstration projects covering an area of 145,503 ha, the project will create additional jobs, of which about 20-40% will be occupied by women. Prospective jobs will include processing and sale of farm products, educational and awareness raising events. Demonstration projects focused on forage production will create opportunities for development of livestock farming and family businesses. The project will promote the mechanization of labor processes, including women's labor. It is expected to give impetus to development of organic agriculture for domestic and foreign consumption, which will have overall positive effects on rural livelihoods. Finally, the project will contribute to capacity building of male and female residents of participating villages as well as increase awareness on sustainable land management practices.

To better understand the problems of land degradation and its environmental and socio-economic consequences that seriously affect the welfare of local people, as well for capacity building of women in resolving issues related to sustainable land and water resources management and biodiversity conservation, the Project will take the following measures:

Encourage and support participation of women in demonstration activities by selecting them as implementers of and consultants for pilot projects and integrated land use planning (Outputs 1.1 & 1.2);

- Ensure equal representation of men and women in the project's seminars, workshops, training-of-trainers and other educational and awareness raising events of the project (Output 1.4);
- Assist in improving cooperation of women in rural districts with non-governmental women's organizations in the region and the oblast and carrying out joint "round tables" and seminars on additional fund raising for development of small business among women of villages (Outputs 1.1, 1.2. & 1.4);
- Organize training courses for women on production of goods of folk craft (carpets, clothes, embroidery, etc.), food products (horse milk, camel milk, cheese, etc.), and assist in the participation of women from project areas in rayon and oblast level discussions (Output 1.4);
- Engage women from women's organizations in monitoring and evaluation of pilot projects, and also in dissemination of good practices in neighboring rural districts. In particular, the project will actively engage women from local communities in environmental awareness raising activities for various target groups. Also, when contracting specialized institutions for field studies and assessments, the project will encourage the inclusion of a higher percentage of women on the team (Output 1.2); and
- Include activities on improving monitoring and evaluation of gender aspects in the project's annual work plans.

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

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The Government of Kazakhstan has requested UNDP and GEF incremental assistance to address the land degradation situation in the country, specifically as it unfolds in the crop production and livestock management sectors. The project thus focuses on sustainable land management in critical, productive, steppe, arid and semi-arid landscapes found in Akmola, Kostanai, North and East Kazakhstan Oblasts (i.e., the northern steppe zone: forest steppe, meadow steppe and dry steppe ecosystems), and Almaty and Kzyl Orda Oblasts (i.e., the southern arid zone: desert and steppe semi-desert ecosystems) of the country. Support is needed to change existing patterns of land use and improve land conditions by strengthening agricultural financial mechanisms and the current land-use planning system, which are the basic financial and administrative drivers of land use, thus addressing land degradation problems in the long term.

The project will build upon existing national subsidy programs in the agricultural sector, as well as on the national environmental development approach by facilitating integrated land use planning, with the emphasis being on decentralization and bottom-up planning, as opposed to the existing highly centralized, top-down system. This will include the wider application of a new financial mechanism in pasture and productive landscape management. Building upon the past experience of GEF funded projects' efforts, the project will create a more conducive policy and legal framework for establishment of agro-environmental incentives for sustainable and better integrated pasture and land use planning and management, and build national and local capacity for practical implementation of such planning in the field. Existing best practices and approaches will be replicated at a wider scale within selected representative oblasts.

The alternative scenario funded by GEF and co-financing resources is expected to result in key modifications to the baseline scenario that will generate global environmental benefits primarily in terms of sustainable land management, but also co-benefits in biodiversity conservation. A comparison of the baseline scenario with the GEF Alternative scenario and associated global environmental benefits are presented in the table below.

Table 1. Incremental cost reasoning and global environmental benefits

State of ecosystems under baseline	Summany of IGEF scenario:	increment/globalibenefits
Land Use Planning and Regulation		
Land use planning does not account for ecosystem	Integration of SLM principles into district territorial planning through	Competitive pressures between land uses
values, leading to ecosystem degradation	Integrated Land Use Plans (ILUPs), compliance monitoring and	in steppe and desert landscapes reduced
	enforcement through:	in 750,000 ha of productive lands, in turn
	<ul> <li>Assessment of pastures and crop land capacity and</li> </ul>	leading to:
	incorporation of this as active components in ILUPs	Decrease in grazing pressure and improved
	<ul> <li>Cross-sectoral mechanism at local level to oversee the</li> </ul>	condition of steppe and arid ecosystems
	ILUP process	Well-functioning ecosystem services (such
	- Strengthening of local enforcement capacities	as forage productivity at steppe

	SLM best practices are applied across sectors and integrated management approaches are applied across different land use sectors	pastures) Improved productivity (see estimates for each pilot site in <u>Annex on</u> <u>demonstration projects</u> )
Financing of agricultural land use		
Traditional subsidies in agriculture prioritize productivity and take no heed of ecosystem carrying capacity	Agro-environmental incentive scheme launched Strengths Weaknesses Opportunities Threats analysis of existing subsidy options under Agribusiness 2020 program to generate recommendations on how existing subsidies can be amended to support agricultural producers in switching to more sustainable and environmentally friendly land use practices. This will constitute a basis for policy dialogue with the government on gradual revision of existing agricultural subsidies. Also, the project's capacity building on how to design agro-environmental subsidies will be instrumental in improving skills and understanding of win-win incentive instruments Agro-environmental incentives are widely accessible to local land users Rayon and oblast akimats undertake systematic and integrated long	Agribusiness 2020 Program reorients funding from traditional to 'green' agriculture.  SLM financing increased by 20 percent Adverse impact of large scale producers of land is reduced (i.e. reduced erosion, greater crop diversification)  Increased incidence of SLM approaches applied by small-scale holders leading to soil and vegetation quality improvements
Land condition and productivity  Low productivity of fodder crops in the Southern zone.  Baseline figures:  Region Oats Barley Other*  t/ ha  Akmola 1.5 1.5  NKz. 1.8 1.5  Kostanai 1.1 1.3 1.5  Almaty 1.6 1.8  Kz. Orda - 0.8  * Wheat Grass, Alfalfa, Common Sainfoin  Low productivity of cereal crops in the Northern zone: 1.4-1.8 t/ ha (wheat)  Soil erosion of barren degraded lands  Excessive use of pesticides and fertilizers in irrigation crop management  High pressure on the productive landscapes due to introduction of monoculture  Overgrazing—exceeding carrying capacity by eight times resulting in increased erosion Increase in less palatable species	term financial planning for agricultural land use  Crop and soil conservation measures, i.e. crop rotation systems and green fallow, efficient use of irrigated water in rice production, restoration of abandoned arable lands  Improved pasture management: expansion of forage areas, improvement of cultivated pastures through re-seeding, and increase the mobility of livestock to counterbalance livestock grazing pressures on rangelands in steppe and desert ecosystems	Increase in productivity of fodder and cereal crops (see estimates for each pile site in Annex on demonstration project. Improved condition of land and natural resources on 145,503 ha in six oblasts that results in reduced soil erosion, halting/ reversal of land degradation processes and continued provision of ecosystem services

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QUESTION 2: What are the Potential Social and Environmental Risks?  Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any "Yes" responses).  Risk Description	potential so	ocial and environd to Questions 4	onme and 5	below before proceed		QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?
	Probability (1-5)	Sign caree		ments		Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.
No Risks identified in screening checklist	NA	NA	NA			NA
	QUESTION	4: What is the Select one (see		Il Project risk catego	orizati	
		Select one (see	: <u>2E3P</u>	Low Risk	<u> </u>	Comments
				Moderate Risk		
				High Risk		
	QUESTIO				k cate	gorization, what requirements of the SES are relevant?
		Check a	all that	apply		Comments
		luman Rights				
	Empower					
	1. Biodivers Manager		and N	latural Resource		
	2. Climate C	Change Mitigatio	n and	Adaptation		
,	3. Commun	ity Health, Safet	y and	Working Conditions		
	4. Cultural I	Heritage				
	5. Displacer	nent and Resett	lemen	,		
	6. Indigeno	us Peoples				
	7. Pollution	Prevention and	Resou	rce Efficiency		

# Final Sign Off

Signature	Date	Description	
QA Assessor		Rassul Rakhimov, OIC Hea	d of the Energy Environment Unit, Programme Analyst
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PAC Chair			
		Munkhtuya Altangerel, UN	NDP Deputy Resident Representative
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# SESP Attachment 1. Social and Environmental Risk Screening Checklist

. 12	Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management
	Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below
No	3. Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?
No	3. Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?
No	2. Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?
No	<ol> <li>Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?</li> </ol>
	Principle 2: Gender Equality and Women's Empowerment
No	9. Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?
No	8. Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?
No	7. Is there a risk that rights-holders do not have the capacity to claim their rights?  Comment: the project has allocated a significant amount of resources to capacity building (See Output 1.4)
No	6. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?  Comment: the project has allocated a significant amount of resources to capacity building (See Output 1.4)
Yes	5. Are there measures or mechanisms in place to respond to local community grievances?
No	4. Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?
No	3. Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?  Comment: If anything, the project increases access to small and medium farmers – access to training, subsidies
No	2. Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? <sup>1</sup>
No	<ol> <li>Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?</li> </ol>
Answer (Yes/No)	Checklist Potential Social and Environmental Risks  Principles 1: Human Rights
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<sup>&</sup>lt;sup>1</sup> Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

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No	1 Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	3.1
	Standard 3: Community Health, Safety and Working Conditions	Sta
No	3 Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)?  For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding	2.3
No	2 Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	2.2
N <sub>O</sub>	1 Will the proposed Project result in significant <sup>2</sup> greenhouse gas emissions or may exacerbate climate change?	2.1
	Standard 2: Climate Change Mitigation and Adaptation	Sta
	potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.	
	For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal-settlers or generate unplanned commercial development along the route.	ļ ,
Š	11 Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area?	1.11
No	10 Would the Project generate potential adverse transboundary or global environmental concerns?	1.10
No	9 Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	1.9
N <sub>O</sub>	8 Does the Project involve significant extraction, diversion or containment of surface or ground water?  For example, construction of dams, reservoirs, river basin developments, groundwater extraction	1.8
No	.7 Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	1.7
No	6 Does the Project involve harvesting of natural forests, plantation development, or reforestation?	1.6
No	.5 Would the Project pose a risk of introducing invasive alien species?	1.5
No	4 Would Project activities pose risks to endangered species?	1.4
No	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	1.3
No	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	1.2
	For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes	
No	.1 Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?	1.1

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 $<sup>^2</sup>$  In regards to  $CO_2$ , 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

No	6.4 Has there been an absence of culturally appropriate consultations carried out with the objective of	۵
No	6.3 Would the proposed Project potentially affect the rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)?	σ <sub>0</sub>
No	6.2 Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	ان
N <sub>o</sub>	6.1 Are indigenous peoples present in the Project area (including Project area of influence)?	ற
	Standard 6: Indigenous Peoples	· 'ω'
No	5.4 Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	رب رب
No	5.3 Is there a risk that the Project would lead to forced evictions? <sup>3</sup>	5
No	5.2 Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	ъ
No	5.1 Would the Project potentially involve temporary or permanent and full or partial physical displacement?	5
	Standard 5: Displacement and Resettlement	S
No	4.2 Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	4
No	4.1 Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	4
	Standard 4: Cultural Heritage	' w
No	3.9 Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	ω
No	3.8 Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	w
N <sub>o</sub>	3.7 Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	ω
No	3.6 Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	ω
No	3.5 Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	w
No	3.4 Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	ω
No	3.3 Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	ω
No	3.2 Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	ω

<sup>&</sup>lt;sup>3</sup> Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

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No	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	7.5—
No	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	7.4
	For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol	
No	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs?	7.3
No	Would the proposed Project potentially result in the generation of waste (both hazardous and nonhazardous)?	7.2
No	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	7.1
	rd 7; Pollution Prevention and Resource Efficiency	Standa
No	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	6.8
No	Would the Project potentially affect the traditional livelihoods, physical and cultural survival of indigenous peoples?	6.7
No	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	6.6
No	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	6.5
No	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	6.4
	achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	