

## ANNEX 2. 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 [Social and Environmental Screening Procedure and Toolkit](#) for guidance on how to answer the 6 questions.

С уважением,



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### Project Information

Project Information	
1. Project Title	Institutional Capacity Development and Awareness Raising on Irrigation and Drainage Networks in the South Kazakhstan.
2. Project Number	00097216
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 county levels, the project will engage multiple and diverse institutions, organizations and stakeholder groups.

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 1,000,000 people, of which 34 % are women. UNDP-IDB's reports annually on its in-situ conservation and Water Sector projects (UNDP/EU supporting Kazakhstan Transition to the Green Economy). Findings of the data reveal that women have become a key partner in rural communities. Furthermore, they are more receptive to new concepts such as shifting to water conservative and saving technologies. This project will, therefore, place emphasis on ensuring that women are well represented in project implementation and that the impact of project activities on women will be considered.

Many rural women have no higher education. In central towns of rural districts (rayons), the share of women with 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 (schools, kindergartens, medical institutions), as well as in the area of agricultural processing.

#### **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.

At present, women are not sufficiently engaged in and aware of discussions related to issues of sustainable land and water management at district, regional and national levels. This stems from the fact that no adequate local mechanism has yet been set up (e.g. a local self-governance council). Thus, the goal is to ensure active participation and influence of women in decision-making for water resource management, health and sanitary hygiene.

### **Participation of women in project implementation**

The project provides equal opportunities for men and women taking all aspects of gender equality, i.e. equal rights during production and distribution of resources into consideration. Whereas, workload will be distributed in such a way that men will be largely engaged in field works, women will be active in preparation of seminars, trainings, and project events. The woman will also process agricultural products. Still, men and women will benefit equally from the project as it will put an effort to change stereotypes as related to gender roles.

To better resolve issues related to sustainable land and water resources management, 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 (Outputs 3.1 & 3.2);
- 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 2.4);
- 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 3.1, 3.2. & 3.4);
- Organize training courses for women on water conservation and assist in the participation of women from project areas in rayon and oblast level discussions (Output 2.4);
- 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);

The project will also consider activities on improving monitoring and evaluation of gender aspects in the project's annual work plans. Mainstreaming Gender into sustainable land management and irrigation rehabilitation activities.

Since women and men have various needs, the gender sensitive needs assessment will be conducted. Moreover, the project intends to build enabling spaces for women to organize and participate in community water management decision-making, as well as build women's leadership skills. The activities will also deepen understanding of the role of women and men in sustaining irrigation and land management practices and response. In particular, this will result in:

- identifying the various needs of each gender in soil and water management including a set of need-accustomed measures into the government development programmes;
- enhancement of role of women in the decision-making, especially in prioritizing pilot and capacity building programmes;
- develop innovative, context specific capacity development initiatives to build women's leadership and empowerment and connect water and land management capacity building to livelihood economic security.

- women empowerment and building local partnerships through the different forums e.g. Provincial Council meetings and CSO forums.
- enhancing the role of women in the transmission of knowledge, expertise and skills to certain vulnerable to environmental issues such as drought and aridization, climate threats groups of society, i.e. small children, elderly and disabled.
- coordinate the delivery of the Women's Transformative Leadership training, ensuring that the training is in line with a women's leadership transformative agenda.
- develop the first national case of gender oriented water and soil management "success story" – a case study which shows gender sensitive approach.

***Briefly describe in the space below how the project mainstreams environmental sustainability***

- The project will systemically work with institutions and individuals, to promote capacity and self-sufficiency in the water sector. It will plan and implement policy, programme and community involvement. It will work at both national and local levels, to stimulate reinforcing "top-down" and "bottom-up" activities. Interventions at the national level will improve education and extension systems in the water sector. It will also increase the knowledge and skills of RSE Kazvodkhoz, and the Almaty and South Kazakhstan Branches of RSE Kazvodkhoz. It will also benefit state qualification upgrade centers, including the other government and non-government organizations. Interventions at the local level will motivate sub-national government offices and civil society to address pressing water resource management issues, which have both national and local implications.
- Recent work by UNDP on Capacity Development Strategy (CDS Note, UNDP August 2012) notes that "capacity does not automatically translate into improved performance and better development results ... [rather] appropriate incentives are needed to put [capacity] in motion towards the desired development destination." This project will reinforce two kinds of incentives for improved water resource management: (a) technical/moral/economic incentives and (b) practical incentives. Changes to policy and institutional frameworks will reinforce the message that Kazakhstan fulfils its commitment under the SDGs principles. Strengthening of technical capacity at the national and local levels and its practical application in pilot projects will show that addressing a marriage effect of the UNPFD/CPD and State Programme "Nurly Zhol" - 2015-2019, themes can link to real and practical solutions for enhancing the quality of life issues.
- The project will aim to demonstrate to state officials and civil society that internationally recognized best practices that generate self-sufficiency can also have local benefits. By supporting the practical application of sound water resource management through an e-billing system and provisioning of economic instruments, the project can demonstrate this in a more powerful way than by training people about water management.

## Part B. Identifying and Managing Social and Environmental Risks

<p><b>QUESTION 2: What are the Potential Social and Environmental Risks?</b></p> <p><i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i></p>	<p><b>QUESTION 3: What is the level of significance of the potential social and environmental risks?</b></p> <p><i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i></p>			<p><b>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)?</b></p>
<p><b>Risk Description</b></p>	<p><b>Impact and Probability (1-5)</b></p>	<p><b>Significance (Low, Moderate, High)</b></p>	<p><b>Comments</b></p>	<p><i>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.</i></p>
<p>No Risks identified in screening checklist</p>	<p>NA</p>	<p>NA</p>	<p>NA</p>	<p>NA</p>
	<p><b>QUESTION 4: What is the overall Project risk categorization?</b></p>			
	<p>Select one (see <a href="#">SESP</a> for guidance)</p>		<p><b>Comments</b></p>	
	<p><i>Low Risk</i></p>	<input checked="" type="checkbox"/>		
	<p><i>Moderate Risk</i></p>	<input type="checkbox"/>		
<p><i>High Risk</i></p>	<input type="checkbox"/>			
	<p><b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</b></p>			
	<p>Check all that apply</p>		<p><b>Comments</b></p>	
	<p><i>Principle 1: Human Rights</i></p>	<input type="checkbox"/>		
	<p><i>Principle 2: Gender Equality and Women’s Empowerment</i></p>	<input type="checkbox"/>		
	<p><i>1. Biodiversity Conservation and Natural Resource Management</i></p>	<input type="checkbox"/>		
	<p><i>2. Climate Change Mitigation and Adaptation</i></p>	<input type="checkbox"/>		
	<p><i>3. Community Health, Safety and Working Conditions</i></p>	<input type="checkbox"/>		
<p><i>4. Cultural Heritage</i></p>	<input type="checkbox"/>			

	<b>5. Displacement and Resettlement</b>	<input type="checkbox"/>	
	<b>6. Indigenous Peoples</b>	<input type="checkbox"/>	
	<b>7. Pollution Prevention and Resource Efficiency</b>	<input type="checkbox"/>	

## Social and Environmental Risk Screening Checklist

<b>Checklist Potential Social and Environmental Risks</b>		
<b>Principles 1: Human Rights</b>		<b>Answer (Yes/No)</b>
1.	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?	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
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups? <i>Comment: if anything, the project increases access to small and medium farmers – access to training, subsidies</i>	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
5.	Are there measures or mechanisms in place to respond to local community grievances?	Yes
6.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project? <i>Comment: the project has allocated a significant amount of resources to capacity building (See Output 1.4)</i>	No
7.	Is there a risk that rights-holders do not have the capacity to claim their rights? <i>Comment: the project has allocated a significant amount of resources to capacity building (See Output 1.4)</i>	No
8.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	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
<b>Principle 2: Gender Equality and Women's Empowerment</b>		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	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
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
4.	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
<b>Principle 3: Environmental Sustainability:</b> Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
<b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b>		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	No
1.2	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?	No

<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.

1.3	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)	No
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
1.11	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? <i>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, 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.</i>	No
<b>Standard 2: Climate Change Mitigation and Adaptation</b>		
2.1	Will the proposed Project result in significant <sup>2</sup> greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No
2.3	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)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
<b>Standard 3: Community Health, Safety and Working Conditions</b>		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	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)?	No
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	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?	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)?	No
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?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labour standards (i.e. principles and standards of ILO fundamental conventions)?	No

<sup>2</sup> In regards to CO<sub>2</sub>, '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.]

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)?	No
<b>Standard 4: Cultural Heritage</b>		
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)	No
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
<b>Standard 5: Displacement and Resettlement</b>		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	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)?	No
5.3	Is there a risk that the Project would lead to forced evictions? <sup>3</sup>	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?	No
<b>Standard 6: Indigenous Peoples</b>		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	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?	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)?	No
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.4	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.5	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?	No
6.6	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.7	Would the Project potentially affect the traditional livelihoods, physical and cultural survival of indigenous peoples?	No
6.8	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
<b>Standard 7: Pollution Prevention and Resource Efficiency</b>		
7.1	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?	No
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	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? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	No

<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.

7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

