



## Seventh Operational Phase of the GEF Small Grants Programme in Kazakhstan

### Part I: Project Information

**GEF ID**

10895

**Project Type**

MSP

**Type of Trust Fund**

GET

**CBIT/NGI**

CBIT No

NGI No

**Project Title**

Seventh Operational Phase of the GEF Small Grants Programme in Kazakhstan

**Countries**

Kazakhstan

**Agency(ies)**

UNDP

**Other Executing Partner(s)**

UNOPS

**Executing Partner Type**

GEF Agency

**GEF Focal Area**

Multi Focal Area

**Taxonomy**

Focal Areas, Climate Change, Climate Change Mitigation, Renewable Energy, Energy Efficiency, Land Degradation, Sustainable Land Management, Restoration and Rehabilitation of Degraded Lands, Income

Generating Activities, Improved Soil and Water Management Techniques, Sustainable Agriculture, Community-Based Natural Resource Management, Sustainable Livelihoods, Sustainable Pasture Management, Influencing models, Convene multi-stakeholder alliances, Demonstrate innovative approaches, Stakeholders, Beneficiaries, Private Sector, Individuals/Entrepreneurs, Civil Society, Community Based Organization, Non-Governmental Organization, Communications, Behavior change, Awareness Raising, Type of Engagement, Information Dissemination, Consultation, Participation, Partnership, Local Communities, Gender Equality, Gender Mainstreaming, Women groups, Sex-disaggregated indicators, Gender-sensitive indicators, Gender results areas, Knowledge Generation and Exchange, Access and control over natural resources, Participation and leadership, Capacity Development, Capacity, Knowledge and Research, Knowledge Exchange, Enabling Activities, Learning, Indicators to measure change, Theory of change, Adaptive management, Innovation, Knowledge Generation

**Rio Markers**

**Climate Change Mitigation**

Climate Change Mitigation 2

**Climate Change Adaptation**

Climate Change Adaptation 1

**Submission Date**

**Expected Implementation Start**

1/1/2022

**Expected Completion Date**

12/31/2025

**Duration**

48In Months

**Agency Fee(\$)**

173,516.00

**A. FOCAL/NON-FOCAL AREA ELEMENTS**

<b>Objectives/Programs</b>	<b>Focal Area Outcomes</b>	<b>Trust Fund</b>	<b>GEF Amount(\$)</b>	<b>Co-Fin Amount(\$)</b>
CCM-1-1	Promote innovation and technology transfer for sustainable energy breakthroughs for decentralized power with energy usage	GET	913,242.00	1,000,000.00
LD-1-1	Maintain or improve flow of agro-ecoystemsme services to sustain food production and livelihoods through Sustainable Land Management (SLM)	GET	913,242.00	1,000,000.00
<b>Total Project Cost(\$)</b>			<b>1,826,484.00</b>	<b>2,000,000.00</b>

## B. Project description summary

### Project Objective

To empower local communities and organizations to take integrated and adaptive actions for socio-ecological resilience and sustainable livelihoods in the seven target landscapes for local and global environmental benefits

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing(\$)	Confirmed Co-Financing(\$)
Component 1: Resilient rural and peri-urban landscapes of steppe and desert ecosystems for sustainable development and global environmental benefits	Technical Assistance	<p><b>Outcome 1:</b></p> <p>Enhanced resilience of production landscapes through improved community-led management practices and production systems and adaptation of appropriate low emission, efficient and clean technologies and solutions</p>	<p><b>Output 1.1:</b></p> <p>Community-level small grant projects implemented that enhance agro-ecosystem resilience through improved land and water management practices and climate adaptive solutions in target landscapes</p> <p><b>Output 1.2:</b></p> <p>Community level initiatives implemented that apply RE and energy efficient technologies and solutions</p>	GET	1,184,056.00	1,442,310.00

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing(\$)	Confirmed Co-Financing(\$)
Component 2: Enhancing landscape sustainability through participatory governance and upscaling of best practices	Technical Assistance	<p><b>Outcome 2:</b> Participatory policy dialogue strengthened for landscape governance to enhance socio-ecological resilience</p> <p><b>Outcome 3:</b> Strengthened capacities and systems for upscaling of successful community initiatives</p>	<p><b>Output 2.1:</b> Multi-stakeholder policy dialogue platforms strengthened for improved governance of target landscapes</p> <p><b>Output 2.2:</b> Landscape strategies updated and landscape action plans for effective governance developed based on results of participatory rapid assessments and consultations in the selected landscapes</p> <p><b>Output 2.3:</b> Networking and partnerships between CBOs, government, civil society, private sector and other stakeholders across the target landscapes strengthened for experience-sharing and replication of good models/practices</p> <p><b>Output 3.1:</b> Strategic projects implemented to enable promotion, upscaling and replication of</p>	GET	394,193.00	345,000.00

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing(\$)	Confirmed Co-Financing(\$)
Component 3: Monitoring and evaluation	Technical Assistance	<b>Outcome 4:</b> Sustainability of project results enhanced through participatory monitoring and evaluation	<b>Output 4.1:</b> Project implementation and results effectively monitored and evaluated	GET	82,191.00	12,690.00
<b>Sub Total (\$)</b>					<b>1,660,440.00</b>	<b>1,800,000.00</b>
<b>Project Management Cost (PMC)</b>						
			GET	166,044.00	200,000.00	
			<b>Sub Total(\$)</b>	<b>166,044.00</b>	<b>200,000.00</b>	
			<b>Total Project Cost(\$)</b>	<b>1,826,484.00</b>	<b>2,000,000.00</b>	

### C. Sources of Co-financing for the Project by name and by type

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Amount(\$)
Civil Society Organization	NSC on behalf of CSO grantees	In-kind	Recurrent expenditures	650,000.00
Civil Society Organization	NSC on behalf of CSO grantees	Grant	Investment mobilized	650,000.00
GEF Agency	UNDP	In-kind	Recurrent expenditures	700,000.00
<b>Total Co-Financing(\$)</b>				<b>2,000,000.00</b>

#### Describe how any "Investment Mobilized" was identified

- The Investment Mobilized figures as well as the Recurrent expenditure figures are based on discussions with the sources identified and are formally confirmed through co-financing letters defining each contribution in cash or in kind. - The SGP National Coordinator was instructed to differentiate co-financing commitments between those corresponding to recurrent costs e.g. salaries of NGO or government staff, costs of premises, etc., and Investment Mobilized, corresponding to new and additional funding either directly contributed to SGP for application to SGP project grants (e.g. as grantee contributions in kind and in cash), or mobilized investment to support project objectives, but not managed by SGP. Civil Society: SGP global policy requests grant recipient CSOs to contribute to their projects in cash to the best of their abilities. The National Steering Committee will foster compliance with this policy, as appropriate. Grantee contributions will only be confirmed during project implementation at the time of grant project approval. UNDP CO: The confirmed in-kind (recurrent expenditures) co-financing from UNDP corresponds to staff salaries, logistical services and other support to the OP 7 project, fostering synergies with the priorities of the UNDP Country Programme Document, particularly in regard to capacitating local communities and landscape stakeholders on adaption to climate change and energy efficiency, providing support to energy efficiency projects in the housing and communal services sector, social and educational facilities.

**D. Trust Fund Resources Requested by Agency(ies), Country(ies), Focal Area and the Programming of Funds**

<b>Agency</b>	<b>Trust Fund</b>	<b>Country</b>	<b>Focal Area</b>	<b>Programming of Funds</b>	<b>Amount(\$)</b>	<b>Fee(\$)</b>
UNDP	GET	Kazakhstan	Land Degradation	LD STAR Allocation	913,242	86,758
UNDP	GET	Kazakhstan	Climate Change	CC STAR Allocation	913,242	86,758
<b>Total Grant Resources(\$)</b>					<b>1,826,484.00</b>	<b>173,516.00</b>

**E. Non Grant Instrument**

NON-GRANT INSTRUMENT at CEO Endorsement

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Includes Non grant instruments? **No**

Includes reflow to GEF? **No**

**F. Project Preparation Grant (PPG)**

PPG Required **false**

**PPG Amount (\$)**

**PPG Agency Fee (\$)**

<b>Agency</b>	<b>Trust Fund</b>	<b>Country</b>	<b>Focal Area</b>	<b>Programming of Funds</b>	<b>Amount(\$)</b>	<b>Fee(\$)</b>
<b>Total Project Costs(\$)</b>					<b>0.00</b>	<b>0.00</b>

## Core Indicators

### Indicator 3 Area of land restored

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)
0.00	15000.00	0.00	0.00

#### Indicator 3.1 Area of degraded agricultural land restored

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)
	15,000.00		

#### Indicator 3.2 Area of Forest and Forest Land restored

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)

#### Indicator 3.3 Area of natural grass and shrublands restored

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)

#### Indicator 3.4 Area of wetlands (incl. estuaries, mangroves) restored

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)

### Indicator 4 Area of landscapes under improved practices (hectares; excluding protected areas)

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)
0.00	10000.00	0.00	0.00

#### Indicator 4.1 Area of landscapes under improved management to benefit biodiversity (hectares, qualitative assessment, non-certified)

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)
<b>Indicator 4.2 Area of landscapes that meets national or international third party certification that incorporates biodiversity considerations (hectares)</b>			

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)
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Type/Name of Third Party Certification

**Indicator 4.3 Area of landscapes under sustainable land management in production systems**

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)
10,000.00			

**Indicator 4.4 Area of High Conservation Value Forest (HCVF) loss avoided**

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)
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**Documents (Please upload document(s) that justifies the HCVF)**

Title	Submitted
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**Indicator 6 Greenhouse Gas Emissions Mitigated**

Total Target Benefit	(At PIF)	(At CEO Endorsement)	(Achieved at MTR)	(Achieved at TE)
Expected metric tons of CO <sub>2</sub> e (direct)	0	5064	0	0
Expected metric tons of CO <sub>2</sub> e (indirect)	0	0	0	0

**Indicator 6.1 Carbon Sequestered or Emissions Avoided in the AFOLU (Agriculture, Forestry and Other Land Use) sector**

Total Target Benefit	(At PIF)	(At CEO Endorsement)	(Achieved at MTR)	(Achieved at TE)
Expected metric tons of CO <sub>2</sub> e (direct)				
Expected metric tons of CO <sub>2</sub> e (indirect)				

Total Target Benefit	(At PIF)	(At CEO Endorsement)	(Achieved at MTR)	(Achieved at TE)
Anticipated start year of accounting				
Duration of accounting				

Indicator 6.2 Emissions Avoided Outside AFOLU (Agriculture, Forestry and Other Land Use) Sector

Total Target Benefit	(At PIF)	(At CEO Endorsement)	(Achieved at MTR)	(Achieved at TE)
Expected metric tons of CO <sub>2</sub> e (direct)		5,064		
Expected metric tons of CO <sub>2</sub> e (indirect)				
Anticipated start year of accounting		2023		
Duration of accounting		10		

Indicator 6.3 Energy Saved (Use this sub-indicator in addition to the sub-indicator 6.2 if applicable)

Total Target Benefit	Energy (MJ) (At PIF)	Energy (MJ) (At CEO Endorsement)	Energy (MJ) (Achieved at MTR)	Energy (MJ) (Achieved at TE)
Target Energy Saved (MJ)				

Indicator 6.4 Increase in Installed Renewable Energy Capacity per Technology (Use this sub-indicator in addition to the sub-indicator 6.2 if applicable)

Technology	Capacity (MW) (Expected at PIF)	Capacity (MW) (Expected at CEO Endorsement)	Capacity (MW) (Achieved at MTR)	Capacity (MW) (Achieved at TE)
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Indicator 11 Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment

	Number (Expected at PIF)	Number (Expected at CEO Endorsement)	Number (Achieved at MTR)	Number (Achieved at TE)
Female		7,500		
Male		7,500		
Total	0	15000	0	0

Provide additional explanation on targets, other methodologies used, and other focal area specifics (i.e., Aichi targets in BD) including justification where core indicator targets are not provided

Area of land restored (Core Indicator 3): The envisaged OP6 target for the increased area of land restored was set at 10,000 ha. As indicated in the baseline column of the Project Results Framework (Annex A), the OP6 project exceeded this target and reported 81,329 ha under sustainable agro-ecological practices and systems in the 2021 final PIR. This became possible due to a LD project on sustainable pasture management and introduction of an electronic pasture management system for a rural okrug--all components covering 53,000 ha. Since there is no guarantee that a project of a similar size will be submitted and approved in OP7, a more conservative but still a 30% higher indicator vs the envisaged OP6 indicator has been set for this funding cycle. Restoration-rehabilitation projects are expected in each of the seven landscapes, including interventions on combatting soil salinization, enhancing soil and water conservation, improving soil fertility, restoring degraded agricultural and pasture lands. Area of landscapes under improved practices (Core Indicator 4): The total estimated area of landscapes under improved practices in OP7 is 10,000 ha covering landscapes under sustainable land management in production systems (Sub-Indicator 4.3). Projects envisaged under this Core indicator include improved agroecological practices benefitting biodiversity (e.g., agroforestry, application of organic fertilizers), improved management of pasture lands (e.g. pasture management plans). Greenhouse Gas Emissions Mitigated (Core Indicator 6): Based on the actual approved projects under the Sixth operational phase (OP6) of the SGP in Kazakhstan and findings of stakeholder consultations carried out during project development, 5,064 tons of CO<sub>2</sub>e (lifetime direct) is estimated to be avoided through community RE and EE interventions (Sub-indicator 6.2). See breakdown of the estimations in Annex 19 to the Project Document. Carbon co-benefits will be calculated for each relevant EE and RE grant project. This information will be included in the PIR, monitored during project implementation and reported at Terminal Evaluation. Number of direct beneficiaries disaggregated by gender (Core Indicator 11): The end target is based on experience during earlier operational phases, OP-6 in particular; the project's gender mainstreaming target for the proportion of direct female beneficiaries is 50%.

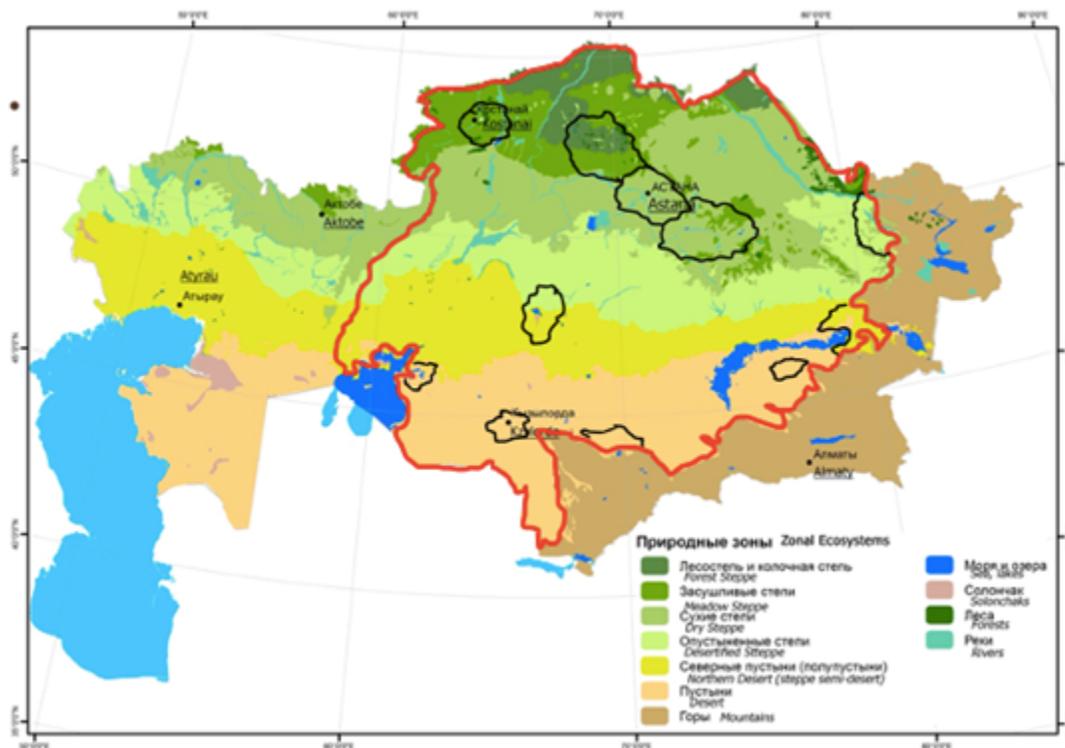
## Part II. Project Justification

### 1a. Project Description

Please see pages 7-52 of the Project Document for descriptions of 1) the country context, root causes and barriers that need to be addressed, baseline activities of the SGP Program and associated baseline government (national and regional) programs (pp 7-16); 2) the proposed alternative scenario with a brief description of expected outcomes and components of the project including incremental cost reasoning, the project's Theory of Change and global environmental benefits (pp 17-29); 4) Partnerships, stakeholder engagement, cooperation; gender equality and women's empowerment; risks to project success and social/environmental safeguards; innovativeness, sustainability and potential for scaling up (29-36).

### 1b. Project Map and Coordinates

Please provide geo-referenced information and map where the project interventions will take place.



Note: The areas with black borders represent the envisaged project area (rural and peri-urban areas around big cities/capitals of target landscapes)

Geospatial coordinates of project sites:

Target	Region	Midpoint geocoordinates
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ecosystem/landscape		Latitude	Longitude
semi-desert & desert	Almaty	44.57831730198172	77.1335053674616
forest-steppe, steppe, dry steppe	Akmola	51.706211778530516	68.0214134406591
forest-steppe, steppe, dry steppe	East Kazakhstan	50.03404478637388	80.89145735569146
forest-steppe, steppe, dry steppe	Karaganda	47.93709417365705	70.77034968640346
forest-steppe, steppe, dry steppe	Kostanai	51.74066353028728	63.75326886930053
semi-desert & desert	Kzylorda	45.45450236910353	62.94151019818178
semi-desert & desert	Turkestan	42.43953458534679	67.76230154234938

### 1c. Child Project?

**If this is a child project under a program, describe how the components contribute to the overall program impact.**

### 2. Stakeholders

**Please provide the Stakeholder Engagement Plan or equivalent assessment.**

In addition, provide a summary on how stakeholders will be consulted in project execution, the means and timing of engagement, how information will be disseminated, and an explanation of any resource requirements throughout the project/program cycle to ensure proper and meaningful stakeholder engagement.

The primary stakeholders of the Kazakhstan GEF 7 Upgrading Country Program are the community-based organizations and local NGOs in target steppe (Akmola, Kostanai, Karaganda, and East Kazakhstan oblasts) and desert and semi-desert ecosystems (Kzylorda, Turkestan and Almaty oblasts), who will receive grants to produce benefits to local sustainable development and the global environment and ultimately to the resilience of their communities and landscapes. Women, youth, people with disabilities and other socially vulnerable groups will be especially invited to participate in the landscape planning and management processes, as well as to submit project proposals for specific initiatives. Regional NGOs and well-experienced, long-serving local NGOs, whose work has been expanded to support and share experience with other communities in pursuing local sustainable development, are also important stakeholders. These will include those NGOs who have the interest and capacities to provide key support services to community-based projects, including technical assistance and capacity development. Primary stakeholders are located in the rural areas of target desert and steppe ecosystems.

Extensive consultations in target regions and ecosystems during project document development have helped to confirm and refine primary stakeholder groups that the project will engage during implementation of GEF-7. Stakeholder groups and their expected roles are summarized in the table below:

Key Stakeholders	Relevant roles and responsibilities
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Key Stakeholders	Relevant roles and responsibilities
<b><i>Local NGOs and CBOs</i></b>	
Local (rural) community organizations that reside in production landscapes, including livestock raisers, shepherds, farmers, rural agricultural cooperatives, apartment-owners associations, colleges, secondary schools, social or crisis centers	<p>Main participants in landscape planning exercises; first-order partners in the multi-stakeholder partnerships for each landscape; signatories to community level partnership agreements; implementing agents of community and landscape level projects. Local communities are typically rural communities residing in target ecosystems covering Almaty, Akmola, East-Kazakhstan Karaganda, Kostanai, Kzylorda, and Turkestan oblasts. These communities represent key users and beneficiaries of agricultural production landscapes and include both men and women. Landscape level strategies will be updated and local landscape management action plans will be designed with their direct engagement, and replicable and sustainable resource use practices will be implemented directly by target communities. The project will ensure the engagement of vulnerable/marginalized groups residing in rural communities in the process.</p> <p>Local communities will generate a pool of best practices and lessons learned that will be used by regional and national authorities for policy making.</p>
National and regional NGOs	Lead and facilitate participatory consultations and landscape planning and management processes; partners in multi-stakeholder partnerships for each landscape; signatories to community level partnership agreements; provide technical assistance to community organizations for implementation of their projects; potential participants on policy platforms. Potential NGO stakeholders will include those with experience in the specific areas of action for each landscape.
<i>Central Asia Regional Environmental Center (CAREC)</i>	Sharing its research, experience and expertise on sustainable land and water management in Kazakhstan including transboundary water management
<b><i>SGP Country Programme</i></b>	
<i>SGP National Steering Committee</i>	Functions as the Project Steering Committee; reviews and approves landscape strategies; advises regarding multi-stakeholder partnership composition and TORs; approves criteria for project eligibility for each landscape based on proposals by multi-stakeholder partnerships and SGP Operational Guidelines; reviews and approves projects submitted by SGP Country Programme Manager; reviews annual project progress reports and recommends revisions and course corrections, as appropriate, representative participant on policy platforms.
<i>SGP Country Programme Manager (National Coordinator), and team</i>	Responsible for the overall implementation and operations of the SGP Kazakhstan Country Programme, acting as secretary to the National Steering Committee, mobilizing co-financing, organizing strategic partnerships with government and non-governmental organizations, and, in general, for managing the successful achievement of Country Programme Objectives as described in the Project Document.
<b><i>National, regional and local government</i></b>	

Key Stakeholders	Relevant roles and responsibilities
Ministry of Ecology, Geology and Natural Resources	Government institution and implementation partner responsible for coordination of the state programs on conservation of natural resources, sustainable land use, climate mitigation and adaptation; partner in multi-stakeholder partnerships for each landscape; select member of National Steering Committee; primary participant on policy platforms.
Ministry of Agriculture (MOA) and its oblast/rayon level departments	<p>Identifies numbers and sites for pasture infrastructure, establishes grazing quotas and promotes land use. Equally, approves farming regulations, which strongly influence ecosystem sustainability to ensure the global benefits of the project. Responsible for enforcing agricultural laws/by-laws on all land types and different forms of agricultural land use systems.</p> <p>MoA and its oblast/rayon level departments will serve as partners in multi-stakeholder partnerships for each landscape and primary participant on policy platforms. MoA's oblast/rayon level representatives will be actively engaged in KM and field visit events of the project. Finally, MoA's oblast/rayon level departments will serve as the key agent for the project's advocacy, media and awareness raising events promoting the agenda of sustainable farming in agriculture as well as the project's generated results and lessons learned.</p>
Oblast, rayon and rural district akimats	Key stakeholders for participatory consultations, landscape planning and management processes, and replication of tested sustainable resource use approaches in other areas; partners in multi-stakeholder partnerships for each landscape; primary participants on policy platforms.
<b><i>Academic and research institutions</i></b>	
<p><i>Kazakh Agrotechnical University, Research Institutes of Pastures and Fodder Production, Kostanay State University named after Baitursynov</i> incl. Digital Hub ?Parasat</p> <p>Each of these institutions has a mandate for scientific research in its respective area.</p>	Key knowledge-holder and scientific support for the development of landscape resilient practices. Institutes will share available scientific knowledge on practices for adaptive management of landscapes, provide capacity building for local communities and farmers, will participate as experts in project development, implementation and monitoring. These institutions will serve as partners in multi-stakeholder partnerships for each landscape; and primary participants on policy platforms.
<b><i>Private sector</i></b>	Partners in multi-stakeholder partnerships for each landscape; signatories to community level partnership agreements, as appropriate; potential participant on policy platforms, participants of the grant projects.

Key Stakeholders	Relevant roles and responsibilities
<i>UNDP</i>	UNDP, as GEF implementing agency, will oversee the successful design and implementation of the project providing quality assurance. UNDP is a senior member of the National Steering Committee and participates in all sessions, providing advice and information to maximize the effect of the Country Programme on the target areas and landscapes of Kazakhstan.
<i>Ongoing relevant donor-financed projects and programs</i>	Using and adopting results and lessons learned of relevant donor-financed projects/programs as appropriate in the OP7 context and by SGP grantees. Sharing successful experiences of SGP OP6 and OP7 and seeking synergies with ongoing or planned donor projects/programs as well as potential entry points for upscaling successful practices/approaches by international financial/development institutions such as FAO, WB, ADB, IsDB, etc.

South-south cooperation will be assured through exchanges with other SGP Country Programmes in nearby countries and SGP UCPs in the world-wide network of 16 UCPs, which support each other through informal knowledge exchange networks. Exchanges also take place at the global level through the SGP global program.

For further information, please see Annex 9 of the Project Document for the *Stakeholder Engagement Plan*. See Annex 15 of the Project Document for the *COVID-19 Analysis and Action Framework*.

**Select what role civil society will play in the project:**

**Consulted only;**

**Member of Advisory Body; Contractor; Yes**

**Co-financier; Yes**

**Member of project steering committee or equivalent decision-making body; Yes**

**Executor or co-executor;**

**Other (Please explain) Yes**

Member of a landscape level multistakeholder policy dialogue platform

### **3. Gender Equality and Women's Empowerment**

**Provide the gender analysis or equivalent socio-economic assesment.**

In Kazakhstan, many rural women have no college or higher education. In central towns of rural districts (rayons), the number of women with college or higher education is considerably higher. In the villages and rural districts, 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 processing.

Public women's councils operate in some rural districts. As a public body, they are not very active. Their activities are mainly limited to working together with the akimat on arranging events for International Women's Day, International Children's Day, and other similar activities. Women's councils in rural districts do not properly communicate with women's organizations in the district in arranging workshops, and training courses on women's entrepreneurship. In urban areas, women are usually leaders of apartment-owners' associations, which have been recipients of GEF/SGP grants in previous GEF cycles.

Gender is a cross-cutting issue within the global SGP grant-making criteria and is incorporated in the SGP project cycle. Under GEF 7, the same trend will continue, strengthening gender equality and women's empowerment as essential elements to achieve sustainable development and project impacts for the global environment. The community projects supported by SGP promote equitable economic benefits for both men and women. Women are incorporated in all decision-making positions of the projects and in the governing bodies established with SGP support, and consider special considerations and preferences (schedules, group structure, etc.) to meet women's needs. SGP will continue to collect and maintain gender-disaggregated data and indicators in its projects. Under SGP's previous cycles the share of women in target landscapes constituted about 50% of the target population.

Gender issues were widely addressed by previous phases of GEF SGP in Kazakhstan, including in the target landscapes. The GEF SGP has offered equal opportunities for all potential project proponents but granted preferential support to projects that were either initiated by women or with active engagement of women during project implementation. In GEF-5, in particular, out of 57 SGP projects, eighteen (18) projects were led by women and in twenty-two (22) projects women either have key roles in implementation of project activities or represent direct beneficiaries. In GEF-6, 81 organizations, including 48 CBOs with over 31,500 beneficiaries, strengthened their experience through implementation of GEF SGP-funded projects in target landscapes, of which 26 (or 53%) were women-led organizations. The majority of women-led projects established successful cooperation with youth projects, thus enhancing potential impacts of SGP projects. For example, the Akbota NGO—a GEF SGP partner in GEF-6 who will continue in GEF-7—actively engages women and young people (school students) as staff and project partners. Its staff has high professional competencies and expertise in implementation of locally designed interventions, in many ways thanks to past and ongoing cooperation with GEF SGP in Kazakhstan. Finally, GEF SGP has actively engaged women experts for monitoring and evaluation of community projects, and this practice will be retained in the GEF-7 cycle of the Country Programme.

The Project's grant recipients will be coming largely from 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 and processing food for winter (butter, jam, Kurt's cheese made from dehydrated cream, etc.), and raising children. 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 key partners 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 household income. This project will, therefore, place particular emphasis on ensuring that women are well represented in project implementation and that the impacts of project activities on women are considered.

Women are not sufficiently engaged in and aware of discussions on or resolution of issues on sustainable use of land and water resources taking place at the rayon, 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. In GEF-7, project activities will put local women leaders at the core of implementation and will demonstrate the important role of community leadership in the successful uptake of proposed schemes and practices. Women will

contribute to the update of landscape management plans and development of action plans and participate in multistakeholder policy dialogue platforms. Women's groups will be engaged in monitoring of projects to identify lessons and knowledge for adaptive management, as well as gender-specific policy recommendations.

The Project will take the following gender-related measures:

- encourage and support participation of women in grant activities and in landscape level planning and implementation;
- ensure 40-50% representation of women or women-led associations in multistakeholder policy dialogue platforms in the seven target regions;
- ensure equal representation of men and women in project seminars, workshops, training-of-trainers, exchange visits and other educational and awareness raising events of the project;
- 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 sustainable land and water use practices, the use of energy efficient appliances and renewable energy sources, and waste management;
- engage women from women's organizations in monitoring and evaluation of grant projects, and in dissemination of good practices in neighboring rural districts. The project will actively engage women from local communities in environmental awareness raising activities for various target groups. Also, when contracting for research and baseline assessments, the project will encourage the inclusion of a higher percentage of women on the teams; and
- include activities on improving monitoring and evaluation of gender aspects in the annual work plans.

The project will track the following mandatory gender indicators, enabling assessment of progress towards the GEF Gender Policy and to the UNDP Gender Equality Strategy (2018-2021):

- Number of direct project beneficiaries disaggregated by gender as a co-benefit of GEF investment, individual people
- Number of participating community members (gender disaggregated)
- Number of women-led projects supported by SGP OP7
- Number of households (disaggregated by gender) adopting sustainable agroecological practices and sustainable land management schemes
- Number of women-led community organizations in each landscape participating in multi-stakeholder dialogue platforms

These indicators are incorporated into the project's monitoring plan (Annex 4 of the project document), and performance will be monitored and evaluated during project implementation, with results reported in project progress reports, and adaptive management measures implemented as needed.

A complete Gender Analysis and Action Plan is included in Annex 10 of the Project Document.

**Does the project expect to include any gender-responsive measures to address gender gaps or promote gender equality and women empowerment?**

Yes

**Closing gender gaps in access to and control over natural resources; Yes**

**Improving women's participation and decision making Yes**

**Generating socio-economic benefits or services or women Yes**

**Will the project's results framework or logical framework include gender-sensitive indicators?**

Yes

#### 4. Private sector engagement

##### **Elaborate on private sector engagement in the project, if any**

The SGP OP7 project envisages engagement with the private sector as partners in multi-stakeholder partnerships for each landscape, signatories to community level partnership agreements, as appropriate, potential participants on policy platforms, and participants/partners of the community grant projects with cash contributions. Also, the OP7 project funding has been set aside for potential 'strategic projects', in line with SGP's global guidelines to bring broader adoption of specific successful SGP-supported technologies, practices or systems to a tipping point in each landscape through engagement of potential financial partners, policy makers and their national/subnational advisors and institutions, as well as the private sector. The SGP National Coordinator and the project's grantees will be attentive to prospective partnerships or collaboration to establish agreements for the development of value chains and/or acquisition of products or services emerging from resilience strategies and community projects.

#### 5. Risks to Achieving Project Objectives

##### **Elaborate on indicated risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, the proposed measures that address these risks at the time of project implementation.(table format acceptable):**

The key risks that could threaten the achievement of results through the chosen strategy are described in the risk register in *Annex 6* to the *Project Document*, along with proposed mitigation measures and recommended risk owners who would be responsible to manage the risks during the project implementation phase.

The social and environmental risks that were assessed as part of the social and environmental screening procedure (see *Annex 5* to the *Project Document*) are also consolidated into the risk register. The overall risk-rating for the project is 'Moderate'. All seven (7) social and environmental project risks described through the SESP have been assessed as Moderate. To meet the SES requirements, the following safeguard plans have been prepared: (i) *Stakeholder Engagement Plan* (see *Annex 9* to the *Project Document*); (ii) *Gender Analysis and Gender Action Plan* (see *Annex 10* to the *Project Document*); and (iii) *COVID-19 Analysis and Action Framework* (see *Annex 15* to the *Project Document*).

Risks extracted from the *Social and Environmental Screening Procedure* (*Annex 5* of the *Project Documents*) are presented in the table below:

<b>Description</b>	<b>Impact and Likelihood (1-5)</b>	<b>Significance (Low, Moderate, High)</b>	<b>Comments</b>	<b>Risk Treatment / Management Measures</b>
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<p><b>Risk 1:</b> Community-level associations and landscape level stakeholders including local governments (sub-national level) and may not have the capacity to fulfill all aspects of their mandate as the duty-bearers towards marginalized rural community groups. Vulnerable or marginalized (the disabled, single parents, the youth) groups might have limited involvement in design of and little engagement in community projects.</p> <p><b><u>Overarching Principle: Leave No One Behind:</u></b> <b>Human Rights</b> (Question P.2) <b>Accountability</b> (Question P.13)</p>	<p>I = 3 L =3</p>	<p><b>MODERATE</b></p>	<p>Particularly low capacities of local communities and authorities residing in distant rural areas in regard to participatory planning and implementation of community-based projects.</p> <p>The SGP OP6 programme has been addressing this challenge through its implementation. But given the size of targeted landscapes and distance between rural communities, the capacity building of landscape level stakeholders remains the key challenge for the SGP OP7 Programme in Kazakhstan.</p>	<p>Under <i>Outcome 1</i>, the project will invest substantially in strengthening organizational, technical and institutional capacities of community members through the design and implementation of community-based projects in target landscapes.</p> <p>Under <i>Outcome 2</i>, the project has a built-in element of multistakeholder dialogue platforms or groups to ensure the inclusion of marginalized rural community groups in the update and monitoring of landscape level strategies/management plans as well as the engagement in community projects.</p> <p>Under <i>Outcome 3</i> on consolidation of knowledge management and lessons learned, SGP OP7 will use successfully tested and adapted approaches and technologies from OP6 for their replication and upscale in OP7.</p> <p>Finally, the engagement of vulnerable/marginalized groups is addressed in the project's Stakeholders engagement plan and Gender Action Plan that are annexed to the project document (Annex 9 and Annex 10 of the Project Document)</p>
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<p><b>Risk 2:</b> Community project activities and approaches might not fully incorporate or reflect views of women and girls, and ensure equitable opportunities for their involvement and benefit.</p> <p><b><u>Overarching Principle:</u></b> <b><u>Leave No One Behind:</u></b> <b>Gender Equality and Women's Empowerment</b> (Questions P.9 and 11)</p>	<p>I = 3 L = 3</p>	<p><b>MODERATE</b></p>	<p>Kazakhstan has nowadays a strong focus on promotion of women. It is important to note that women constitute a substantial part of rural communities. Therefore, promotion of resilient rural landscapes for sustainable development and global environmental protection, and multistakeholder platform as a mechanism for landscape management, adaptive management, upscaling and replication would not be effective without the engagement of women.</p>	<p>The project promotes an assertive and equitable access to opportunities for women and men (e.g. capacity building, technical assistance, support for participation and inclusion in landscape level multistakeholder groups). The project will cooperate and closely work with associations/unions or NGOs/CBOs already working on gender issues in target landscapes ensuring that their representatives will sit on multistakeholder groups and be engaged in the update of landscape level management plans.</p> <p>The project's results frameworks, the Gender Analysis and Gender Action Plan have been developed, with specific activities, indicators and budget to ensure gender participation and gender equality. The Gender AP (see Annex 10 of the Project Document) includes considerations that address their different needs and impacts of environmental degradation and climate change on women in selected landscapes.</p> <p>All GEF SGP proposals are reviewed and approved by the National Steering Committee made up of experts in different fields, including an expert on gender and development.</p>
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<p><b>Risk 3:</b> Project activities in the seven target landscapes will promote integrated agroecological practices and cropping systems that enhance productivity and sustainability of smallholder agroecosystems including agro-forestry, harvesting of forest products, harvesting of fish, pastoral systems development, etc. Poorly designed or executed community projects could produce potential negative effects on valuable biodiversity and ecosystems in seven target landscapes.</p> <p><b><u>Project-Level Standards:</u></b>  <b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b>  (Questions 1.1, 1.8., 1.10)</p>	I = 3 L = 3	<b>MODERATE</b>	The project aims to promote social, economic and ecological resilience of rural landscapes (through sustainable land management and agropractices) on over 20,000 ha of steppe, desert and semi-desert ecosystems; promote the widespread use of energy efficient and renewable technologies in rural landscapes; build capacities of NGOs and local communities in development and implementation adaptive management approaches in seven landscapes; and engage landscape level stakeholders in multi-sectoral dialogues for sustainable development of target landscapes . The above listed wide-scale SGP OP7 interventions could potentially affect natural ecosystems and wild species inhabiting neighboring or community-project areas, especially given that the landscape is mosaic.	The GEF OP7 Project will manage potential negative effects of community projects on biodiversity and neighboring ecosystems. To mitigate such effects, every community project will assess its potential negative impacts on ecosystem. If and where needed, the assessment will be aimed at revealing species and ecosystems of special conservation concern, areas of special importance for biodiversity (KBAs and local designations/nominations), hotspots, areas with high richness of species of concern, etc., and critically important ecosystem services and ecological processes at project sites. All project activities will be planned and implemented in a manner that excludes any damage to the identified populations and ecosystems and minimizes any risk to the critically important ecosystem services and ecological processes.
				GEF OP7 will further promote sustainable pastoral systems (use of under-grazed distant pastures and rotational use of overgrazed community pastures) for improved management of pastures over the long run. Such community projects will be designed with inputs from pasture experts experienced in designing sustainable pasture management systems and rotational schemes.
				Potential community-based harvesting and afforestation activities will be relatively small and designed to increase food security, build resilience, buffer rising threats that are increasing

<p><b>Risk 4:</b> Periodic droughts, floods, changes in rainfall distribution, extreme weather events such as prolonged drought periods may occur in the target steppe and desert landscapes. These climate and disaster hazards can impact the project beneficiaries, project activities and the implementation processes, and the expected results.</p> <p><b><u>Project-Level Standard:</u></b>  <b>Standard 2: Climate Change and Disaster Risks</b>  (Questions 2.1 and 2.2)</p>	I =3 L=3	<b>MODERATE</b>	Impacts from climate associated risks and disasters have been on the increase in recent years, similarly the exposure to disaster risks. Project outcomes regardless of level of resilience-building may be impacted by climate change.	Increasing climate change and weather unpredictability can impact the desert and steppe landscapes. Even though project outcomes focus on building resilience of target landscapes, it is unrealistic to conceive that they would remain un-impacted by prolonged droughts or rains. The project will seek to build resilience but will also be mindful of disaster risk reduction considerations.  CBOs will be required to include an assessment in their project proposals on climate risks and describe what measures are proposed to reduce and manage the risks. Moreover, the design and implementation of project interventions will be guided by the Country Programme Management Unit (CPMU) and the National Steering Committee (NSC) and supported by the multi-stakeholder landscape policy platforms. Regular coordination and exchange of information for early warning will be promoted.
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<p><b>Risk 5:</b> Possible extension of the COVID-19 pandemic, as a result of eventual uncontrolled outbreaks, that may delay project implementation, affect the health of the beneficiaries, limit the areas in which the project can be implemented, limit face-to-face consultations among stakeholders and further exacerbate conditions of marginalized people who have limited access to resources and technology.</p>	<p>I=3 L=3</p>	<p><b>MODERATE</b></p>	<p>The project preparation phase coincided with the outbreak of the COVID-19 pandemic. Given the characteristics of the pandemic both at a global and national level, it is not known yet when this disease will stop being a risk for humanity.</p> <p>It is still unclear when the COVID-19 vaccine will be available and what effective results it may trigger over time. Likewise, there is no certainty of when the entire population will have access to this vaccine.</p> <p>Due to the above described situation, it is likely that - at least in 2021 - some restrictions will still be applied to prevent pandemic outbreaks.</p> <p>As of January 2021, although the COVID-19 pandemic in Kazakhstan continues to affect a large part of the country, incidence levels have dropped and the areas where the project will work do not show high levels of impact, although the future situation is volatile and unstable.</p>	<p>A COVID-19 Analysis was undertaken during project preparation and is annexed to the Project document.</p> <p>The project will comply with government directives in order to reduce health risks to project staff and stakeholders, and the execution of grant projects will be carried out applying and complying with strict bio-safety measures, reducing the possibilities of contagion from COVID-19. The UNDP office has established specific rules for participation and requires Project staff to have special permits for field visits.</p> <p>Implementation may be paused, if necessary, in affected areas while government disease prevention or control measures are implemented and resumed later as feasible. The NSC and UNDP will guide project responses through regular correspondence for ongoing situations, as required. Revision of the project workplan may be necessary. To make up for possible delays due to the impossibility of SGP staff visiting the field, communication will be maintained through virtual means (WhatsApp, Skype, Zoom, etc.).</p>
<p><b><u>Project-Level Standard:</u></b> <b>Standard 3: Community Health, Safety and Security</b> (Question 3.4)</p>				<p>Each of the small grant proposals will be required to include a contingency plan for adjusting to possible suspension or delays as a result of a public health or similar crisis. The MOUs with the CBOs contain a force majeure clause, and delays or shortcomings in delivery based on such unforeseen circumstances are covered through this</p>

<p><b>Risk 6:</b> There is the possibility that CSOs, who manage their grants, may use funds to finance employment-livelihood activities that do not meet national and international labour standards.</p> <p><b><u>Project-Level Standard:</u></b>  <b>Standard 7: Labour and Working Conditions</b>  (Question 7.1)</p>	<p>I =3 L=3</p>	<p><b>MODERATE</b></p>	<p>Consistent with UNDP Social and Environmental Standards, the grant applicants will be required to conduct due diligence as part of the proposal development process to ascertain that third parties who engage project workers are legitimate and reliable entities and have in place appropriate policies, processes and systems that allow them to operate in accordance with the minimum requirements in the UNDP Standard 7 on Labour and Working Conditions, as well as relevant national laws?. The NSC will ensure compliance in the review of the grant proposals. Contractor works will have access to the grievance mechanisms, described in the Stakeholder Engagement Plan. The Country Programme Management Team will carry out periodic spot checks to reinforce UNOPS standards.</p>
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<p><b>Risk 7:</b> Project interventions involving agrochemicals may result in release of pollutants to the environment and in the generation of hazardous waste.</p> <p><b><u>Project-Level Standard:</u></b>  <b>Standard 8: Pollution Prevention and Resource Efficiency</b>  (Questions 8.1, 8.2)</p>	I=3 L=2	<b>MODERATE</b>	Unsafe use and handling of agrochemicals and associated hazardous wastes generated (e.g., used containers) may release harmful pollutants to the environment.	<p>In the grant proposals, applicants will be required to ensure that UNDP Social and Environmental Standards, as well as national environmental protection laws and derivative legislation, are followed in the execution of project activities.</p> <p>Non-chemical options will be promoted. In cases where agrochemicals are used, workers involved in ecosystem restoration or other activities will be trained in the safe use and management of agrochemical inputs. The Project will provide site level training as well as monitoring of safe use and management of agrochemicals and wastes generated in target landscapes.</p>
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## 6. Institutional Arrangement and Coordination

**Describe the institutional arrangement for project implementation. Elaborate on the planned coordination with other relevant GEF-financed projects and other initiatives.**

**Roles and responsibilities of the project's governance mechanism:**

**Implementing Partner:** The Implementing Partner for this project is the United Nations Office for Project Services (UNOPS). The Implementing Partner is the entity to which the UNDP Administrator has entrusted the implementation of UNDP assistance specified in this signed project document along with the assumption of full responsibility and accountability for the effective use of UNDP resources and the delivery of outputs, as set forth in this document.

The Implementing Partner is responsible for executing this project. Specific tasks include:

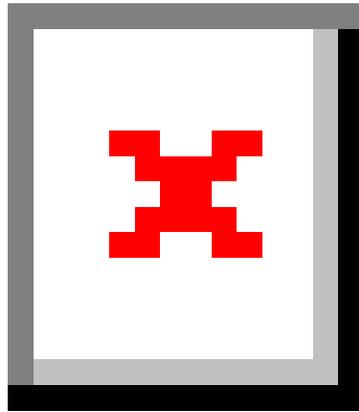
- Project planning, coordination, management, monitoring, evaluation and reporting. This includes providing all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary. The Implementing Partner will strive to ensure project-level M&E is undertaken by national institutes and is aligned with national systems so that the data used and generated by the project supports national systems.
- Risk management as outlined in this Project Document.
- Procurement of goods and services, including human resources.
- Financial management, including overseeing financial expenditures against project budgets.
- Approving and signing the multiyear workplan.
- Approving and signing the combined delivery report at the end of the year.

- Signing the financial report or the funding authorization and certificate of expenditures.

**Project beneficiary Groups:** CBOs, CSOs and NGOs in the target landscapes: These stakeholders, with support of the multi-stakeholder governance platforms in each of the four landscapes, as well as technical and strategic assistance from the SGP, will design and implement the projects to generate global environmental benefits and community livelihood benefits.

**UNDP:** UNDP is accountable to the GEF for the implementation of this project. This includes overseeing project execution undertaken by the Implementing Partner to ensure that the project is being carried out in accordance with UNDP and GEF policies and procedures and the standards and provisions outlined in the Delegation of Authority (DOA) letter for this project. The UNDP GEF Executive Coordinator, in consultation with UNDP Bureaus and the Implementing Partner, retains the right to revoke the project DOA, suspend or cancel this GEF project. UNDP is responsible for the Project Assurance function in the project governance structure and presents to the Project Board and attends Project Board meetings.

The roles and responsibilities of the various parties to the project are illustrated in the organogram shown below in Figure 1 below and described in the SGP Operational Guidelines (Annex 11 of the Project document).



*Figure 1: Project organisation structure*

**Project Board:** The Project Board (also called SGP National Steering Committee) is responsible for taking corrective action as needed to ensure the project achieves the desired results. In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value for money, fairness, integrity, transparency and effective international competition. Establishment and operations of SGP National Steering Committees are carried out in accordance with the SGP Operational Guidelines.

In case consensus cannot be reached within the Board, the UNDP Resident Representative (or their designate) will mediate to find consensus and, if this cannot be found, will take the final decision to ensure project implementation is not unduly delayed.

Specific responsibilities of the Project Board (SGP National Steering Committee) include:

- ? Provide overall guidance and direction to the project, ensuring it remains within any specified constraints.
- ? Address project issues as raised by the project manager (SGP National Coordinator).
- ? Provide guidance on new project risks and agree on possible mitigation and management actions to address specific risks.
- ? Agree on project manager's tolerances as required, within the parameters set by UNDP-GEF, and provide direction and advice for exceptional situations when the SGP National Coordinator's tolerances are exceeded.
- ? Advise on major and minor amendments to the project within the parameters set by UNDP-GEF.
- ? Ensure coordination between various donor and government-funded projects and programmes.
- ? Ensure coordination with various government agencies and their participation in project activities.
- ? Track and monitor co-financing for this project.
- ? Review the project progress, assess performance, and appraise the Annual Work Plan for the following year.
- ? Appraise the annual project implementation report, including the quality assessment rating report.
- ? Ensure commitment of human resources to support project implementation, arbitrating any issues within the project.
- ? Provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans.
- ? Address project-level grievances.
- ? Approve the project Inception Report, Mid-term Review and Terminal Evaluation reports and corresponding management responses.
- ? Review the final project report package during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.
- ? Ensure highest levels of transparency and take all measures to avoid any real or perceived conflicts of interest.

**Project Assurance:** UNDP performs the quality assurance role and supports the NSC and Country Programme Management Unit by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed, and conflict of interest issues are monitored and addressed. The NSC cannot delegate any of its quality assurance responsibilities to the SGP National Coordinator. UNDP provides a three-tier oversight services involving the UNDP Country Offices and UNDP at regional and headquarters levels. Project assurance is totally independent of project execution.

**Project extensions:** The UNDP Resident Representative and the UNDP-GEF Executive Coordinator must approve all project extensions. All extensions incur costs, and the GEF project budget cannot be increased. A single extension may be granted on an exceptional basis only if the following conditions are met: one extension only for a project for a maximum of six months; the project management costs during the extension period must remain within the originally approved amount, and any increase in PMC costs will be covered by non-GEF resources; the UNDP Country Office oversight costs in excess of the CO's Agency fee specified in the DOA during the extension period must be covered by non-GEF resources.

UNDP will provide overall Programme oversight and take responsibility for standard GEF project cycle management services beyond assistance and oversight of project design and negotiation, including project monitoring, periodic evaluations, troubleshooting, and reporting to the GEF. UNDP will also provide high level technical and managerial support from the UNDP GEF Global Coordinator for the SGP Upgrading Country Programmes, who is responsible for project oversight for all SGP Upgraded Country Programme projects. The SGP Central Programme Management Team (CPMT) will monitor Upgraded Country Programmes for compliance with GEF SGP core policies and procedures.

In accordance with the global **SGP Operational Guidelines** (Annex 11 of the Project Document) that will guide overall project implementation in Kazakhstan, and in keeping with past best practice, the UNDP Resident Representative will appoint the **National Steering Committee** (NSC) members. The NSC, composed of government and non-government organizations with a non-government majority, a UNDP representative, and individuals with expertise in the GEF Focal Areas, is responsible for grant selection and approval and for determining the overall strategy of the SGP in the country. NSC members serve without remuneration and rotate periodically in accordance with its rules of procedure. The Government is usually represented by the GEF Operational Focal Point or by another high-level representative of relevant ministries or institutions. The NSC assesses the performance of the National Coordinator with input from the UNDP RR, the SGP UCP Global Coordinator, and UNOPS. The NSC also contributes to bridging community-level experiences with national policymaking.

The UNDP **Country Office** is the business unit in UNDP for the SGP project and is responsible for ensuring the project meets its objective and delivers on its targets. The Resident Representative signs the grant agreements with beneficiary organizations on behalf of UNOPS. The Country Office will make available its expertise in various environment and development fields as shown below. It will also provide other types of support at the local level such as infrastructure and financial management services, as required. UNDP will be represented in the NSC and will actively participate in grant monitoring activities. The CO will participate in NSC meetings, promoting synergies with other relevant Programmes, and support the design and implementation of the SGP strategy, among other things.

The **Country Programme Management Unit (CPMU)** composed of an SGP National Coordinator and a Programme Assistant, recruited through competitive processes, is responsible for the day-to-day operations of the Programme. This includes supporting NSC strategic work and grant selection by developing technical papers, undertaking ex-ante technical reviews of project proposals; taking responsibility for monitoring the grant portfolio and for providing technical assistance to grantees during project design and implementation; mobilizing cash and in-kind resources; preparing reports for UNDP, GEF and other donors; implementing a capacity development Programme for communities, CBOs and NGOs, as well as a communications and knowledge management strategy to ensure adequate visibility of GEF investments, and disseminating good practices and lessons learnt. The terms of reference for the members of the CPMU

are included in the *Overview of Project Staff and Technical Consultancies* in Annex 8 of the Project Document.

**Grants** will be selected by the NSC from proposals submitted by CBOs and NGOs through calls for proposals in specific thematic and geographic areas relevant to the SGP Country Programme strategy, as embodied in this document. Although government organizations cannot receive SGP grants, every effort will be made to coordinate grant implementation with relevant line ministries, decentralized institutions, universities and local government authorities to ensure their support, create opportunities for co-financing, and provide feedback on policy implementation on the ground. Contributions from and cooperation with the private sector will also be sought.

**UNOPS** will provide Country Programme implementation services, including human resources management, budgeting, accounting, grant disbursement, auditing, and procurement. UNOPS is responsible for SGP's financial management and provides monthly financial reports to UNDP. The UNOPS SGP Standard Operating Procedures guide the financial and administrative management of the project. UNOPS will provide a certified expenditure report as of 31 December of each year of implementation.

A key service of UNOPS is the contracting of SGP staff as needed and required by the Programme, and once contracted, UNOPS provides guidance and supervision, together with the UNDP CO acting on behalf of UNOPS, to the SGP country staff in their administrative and finance related work. UNOPS also provides other important services (as specified in the GEF Council document C.36/4) that include (1) oversight and quality assurance: (i) coordinate with the Upgrading Country Programme (UCP) Global Coordinator on annual work plan activities and (ii) undertake trouble-shooting and problem-solving missions; (2) project financial management: (i) review and authorize operating budgets; (ii) review and authorize disbursement, (iii) monitor and oversee all financial transactions, (iv) prepare semi-annual and annual financial progress reports and (v) prepare periodic status reports on grant allocations and expenditures; (3) project procurement management: (i) undertake procurement activities and (ii) management of contracts; (4) project assets management: (i) maintain an inventory of all capitalized assets; (5) project risks management: (i) prepare and implement an annual audit plan and (ii) follow up on all audit recommendations; and (6) Grants management: (i) administer all grants, (ii) financial grant monitoring and (iii) legal advice.

Under its legal advice role, UNOPS takes the lead in investigations of UNOPS-contracted SGP staff. UNOPS services also include transactional services: (1) personnel administration, benefits and entitlements of project personnel contracted by UNOPS; (2) processing payroll of project personnel contracted by UNOPS, (3) input transaction instruction and automated processing of project personnel official mission travel and DSA; (4) input transaction instruction and automated processing of financial transactions such as Purchase Order, Receipts, Payment Vouchers and Vendor Approval and (5) procurement in UN Web Buy.

UNOPS will continue with a number of areas for enhancing execution services started in the previous the SGP GEF-5, including: inclusion of co-financing below \$500,000; technical assistance to high risk/low performing countries; developing a risk-based management approach; strengthening the central structure to make it more suitable for an expanded Programme; resolving grant disbursement delays; enhancing country Programme oversight; improving monitoring & evaluation; increasing the audit volume and quality assurance work; and optimizing Programme cost-effectiveness. To facilitate global coherence in execution of services, guidance and operating procedures, UNOPS through a central management team and NSC, coordinates primarily with UNDP/GEF HQ respectively.

UNOPS will not make any financial commitments or incur any expenses that would exceed the budget for implementing the project as set forth in this Project Document. UNOPS shall regularly consult with UNDP concerning the status and use of funds and shall promptly advise UNDP any time when UNOPS is aware that the budget to carry out these services is insufficient to fully implement the project in the manner set out in the Project Document. UNDP shall have no obligation to provide UNOPS with any funds or to make any reimbursement for expenses incurred by UNOPS in excess of the total budget as set forth in the Project Document.

UNOPS will submit a cumulative financial report each quarter (31 March, 30 June, 30 September and 31 December). The report will be submitted to UNDP through the ATLAS Project Delivery Report (PDR) system and follow the established ATLAS formats and PDR timelines. The level of detail in relation to the reporting requirement is indicated in the Project Document budget which will be translated into the ATLAS budgets. UNDP will include the expenditure reported by UNOPS in its reconciliation of the project financial report.

Upon completion or termination of activities, UNOPS shall furnish a financial closure report, including a list of non-expendable equipment purchased by UNOPS, and all relevant audited or certified financial statements and records related to such activities, as appropriate, pursuant to its Financial Regulations and Rules.

Title to any equipment and supplies that may be furnished by UNDP or procured through UNDP funds shall rest with UNDP until such time as ownership thereof is transferred. Equipment and supplies that may be furnished by UNDP or procured through UNDP funds will be disposed as agreed, in writing, between UNDP and UNOPS. UNDP shall provide UNOPS with instructions on the disposal of such equipment and supplies within 90 days of the end of the Project.

The arrangements described in this Project Document will remain in effect until the end of the project, or until terminated in writing (with 30 days' notice) by either party. The schedule of activities specified in the Project Document remains in effect based on continued performance by UNOPS unless it receives written indication to the contrary from UNDP. The arrangements described in this Agreement, including the structure of implementation and responsibility for results, shall be revisited on an annual basis and may result in the amendment of this Project Document.

If this Agreement is terminated or suspended, UNDP shall reimburse UNOPS for all costs directly incurred by UNOPS in the amounts specified in the project budget or as otherwise agreed in writing by UNDP and UNOPS.

All further correspondence regarding this Agreement, other than signed letters of agreement or amendments thereto should be addressed to the UNDP-GEF Executive Coordinator and the UNDP Resident Coordinator.

UNOPS shall keep UNDP fully informed of all actions undertaken by them in carrying out this Agreement.

Any changes to the Project Document that would affect the work being performed by UNOPS shall be recommended only after consultation between the parties. Any amendment to this Project Document shall be affected by mutual agreement, in writing.

If UNOPS is prevented by force majeure from fulfilling its obligations under this Agreement, it shall not be deemed in breach of such obligations. UNOPS shall use all reasonable efforts to mitigate the consequences of force majeure. Force majeure is defined as natural catastrophes such as but not limited to earthquakes, floods, cyclonic or volcanic activity; war (whether declared or not), invasion, rebellion, terrorism, revolution, insurrection, civil war, riot, radiation or contaminations by radio-activity; other acts of a similar nature or force.

Notwithstanding anything to the contrary, UNOPS shall in no event be liable as a result or consequence of any act or omission on the part of UNDP, the government and/or any provincial and/or municipal authorities, including its agents, servants and employees.

UNDP and UNOPS shall use their best efforts to promptly settle through direct negotiations any dispute, controversy or claim which is not settled within sixty (60) days from the date either party has notified the other party of the dispute, controversy or claim and of measures which should be taken to rectify it, shall be referred to the UNDP Administrator and the UNOPS Executive Director for resolution.

This project will be implemented by UNOPS in accordance with UNOPS' Financial Rules and Regulations provided these do not contravene the principles established in UNDP's Financial Regulations and Rules.

UNOPS as the Implementing Partner shall comply with the policies, procedures and practices of the United Nations security management system.

*Planned coordination with other relevant GEF-financed projects and other initiatives*

The project strategy has a strong emphasis on building on baseline activities implemented by project partners, as well as on establishing new and strengthening existing partnerships to ensure the sustainability of the results achieved. The project will collaborate with and build on the lessons of a range of related initiatives.

The National Steering Committee (NSC) of the SGP Kazakhstan Country Programme has consistently promoted the collaboration of the Country Programme with GEF, government and other donor-financed projects and programmes for many years including a joint program of UNDP and the Government of Kazakhstan on sustainable development of the socially and environmentally vulnerable Semei region (delivery of trainings on project design), and a UNDP administered and EC-funded water program (implementation of its grant component). The SGP shared its experience in conceiving, designing and implementing community level projects, assisted in monitoring of ongoing projects by registering progress and achieved impacts on the ground.

Some of the key related initiatives where partnerships will be fostered are listed below.

UNDP-GEF project 'Conservation and Sustainable Management of Key Globally Significant Ecosystems for Multiple Benefits' (UNDP-GEF SFM Project), 2018-2024, has, as its primary purpose, improving conservation status and management of key forest and associated grassland, riparian and arid ecosystems important for conservation of biodiversity, land resources and provision of livelihoods for local communities in regions of Kazakhstan with key areas of alpine forest, tugai forest, and saxaul forest ecosystems, mainly in the three administrative regions: East Kazakhstan Province (Altai and Saur-Tarbagatai mountain zones); Almaty Province (Zhongar Alatau, North and Central Tien Shan mountains, Charyn and Ile river and Ile-Balkhash delta floodplain forests, and associated saxaul ecosystems); and South Kazakhstan Province (West Tien Shan mountain ecosystems, and Syr Darya river floodplain forests, and associated saxaul ecosystems). It is a complex multi-sectoral project that also includes activities on (i) participatory development of forest pasture management plans (including grazing plans) and their subsequent implementation by local communities in pilot areas, (ii) engagement of local communities in feasible and sustainable afforestation solutions (including agroforestry and private forests), and (iii) participatory design of integrated land and forest management plans for target areas.

The Biodiversity Finance Initiative Implementation Strategy for BIOFIN Phase II 2018-2025 in Kazakhstan (BIOFIN Phase II) focuses on six financial solutions to biodiversity finance, of which the following solutions are of relevance to the GEF SGP OP7 project: (i) tax incentives to develop ecotourism including agritourism, which the GoK views favorably (in line with the *Tourism Industry Development Program for 2019-2025*) due to its benefits of economic development in rural areas and expanding opportunities for local livelihoods for both men and women. The BIOFIN project focuses on developing an eco-standard for ecotourism and rules for ecotourism certification in Kazakhstan that among other things require the engagement of local rural population residing in and around protected areas (e.g. in buffer

zones). In particular, the BIOFIN project developed a microcredit product (2020-2024) within the Eco Damu Fund with an annual interest rate of 6%<sup>[1]</sup> to rural community members and entrepreneurs. An opportunity for leveraging additional funding could be considered by SGP grantees during grant project development using the SGP financial resources as seed funding; (ii) finance solutions (e.g. subsidizing game breeding) for hunting concessions, who are the guardians of biodiversity conservation in production landscapes; (iii) offsetting carbon emissions within the framework of the domestic emissions trading system (ETS): SGP grantees could be encouraged to consider opportunities of cooperation with national industrial companies who may be interested in trading carbon emissions for possible co-financing of projects that will enhance carbon deposition/sequestration. In that regard, creation of silvopastures (more effective in carbon sequestration than forests or rangelands) and windbreaks on farms (crop protection and corridors for biodiversity) are the two promising thematic areas for OP7.

UNDP-GEF project on De-risking Renewable Energy Investments, 2018-2023, focuses on promoting private sector investment in renewable energy in Kazakhstan to achieve Kazakhstan's 2030 and 2050 targets for renewable energy. The project targets both large-scale and small-scale renewable energy. In small-scale renewable energy, the project promotes investment in 'RES for rural life', both on-grid and off-grid small-scale renewable energy applications, targeting farms and rural SMEs. Technologies include solar PV (roof-top), solar water heating and small-scale wind. The project set up a financial mechanism with the Damu Fund and developed subsidizing rules. GEF SGP potential grantees could use and benefit from the existing institutional and financial arrangements in the DAMU fund; as well, lessons learned and experiences of completed rural RES projects will be used in designing OP7 grant projects.

World Bank Sustainable Livestock Development Program and Program-for-Results (PforR) loan of US\$ 500 million. The Program's objective is to support the development of environmentally sustainable, inclusive, and competitive beef production in Kazakhstan by supporting results in the following three areas: (i) Improve Veterinary Service Delivery and Animal Recording; (ii) Scale-up the Farmer-Centric Service Delivery Model; and (iii) Efficient Agri-Environmental Policies for the Beef Sector. In addition, the Program will connect about 20,000 small and medium farmers to export value chains.

German-Kazakh Agricultural Policy Dialogue (APD Kazakhstan) Project funded by the German Ministry of Food and Agriculture (BMEL) and implemented by GFA Consulting Group, 2020-2022 (1.7 mln Euro). This project aims at improving the legal and institutional frameworks for sustainable development of Kazakhstan's agricultural sector. It renders technical advice on agricultural law and agricultural policy issues, including agricultural financing and trade, organic farming, agribusiness, cooperatives, agricultural policy and analysis.

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[1] This is the lowest possible interest rate available on the microcredit market in Kazakhstan. For example, FFSA currently issues loans with effective annual rates in the range of 6.26 to 11 percent

## **7. Consistency with National Priorities**

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**Describe the consistency of the project with national strategies and plans or reports and assessments under relevant conventions from below:**

NAPAs, NAPs, ASGM NAPs, MIAs, NBSAPs, NCs, TNAs, NCSAs, NIPs, PRSPs, NPFE, BURs, INDCs, etc.

*National-level programs*

Some of the key complementary baseline government programmes are outlined below. The project will foster synergies with these programmes and other initiatives through interaction on multi-stakeholder governance platforms, update of participatory landscape strategies, delivery of capacity building through learning-by-doing approaches and co-financing arrangements on community projects.

The *Concept for Transition of the Republic of Kazakhstan to the Green Economy* adopted in Kazakhstan was approved by the Decree of the President of the Republic of Kazakhstan # 577 as of May 30, 2013, and pursues the goal of harmonizing relationships between the people and nature. The conceptual framework of the Strategy encompasses the following documents: Kazakhstan Development Strategy up to 2050, the Budget Program 2044 'Fast-tracking Kazakhstan's development towards the Green Economy by means of advancing technologies and best practices, business development and enhanced investments' as well as other documents.

The main priorities for transition to green economy are: i) increasing the efficiency of resource use and effective management of the resources; ii) modernization of the existing infrastructure and construction of the new infrastructure; iii) improving the well-being of the population and quality of the environment at the expense of cost-effective environmental impact mitigation methods; iv) strengthening national security, including food and water security. The wide use of alternative energy sources (wind, solar, hydro, geothermal, biofuel) is also one of the Government priorities included in the national Concept for Transition of the Republic of Kazakhstan to the Green Economy. With regard to agriculture, key issues of the new economic strategy include modernization of the agricultural sector, development of farming and small and medium-sized enterprises (SMEs) in agricultural processing and trade, and enhancement of water resources policy. While provisions of the Concept made its way to sectoral policies and programs (relevant ones are listed below), what is still lacking is the advancement of the Concept and its provisions at the local, community levels. The GEF-7 Project will contribute to a wide-spread awareness of its objectives and priorities by way of demonstrating locally sustainable and environmentally friendly approaches and practices that contribute to socio-ecological resilience of target landscapes.

The *Forecast scheme of the country's territorial spatial development* until 2030 approved on August 23, 2019, focuses on identifying reserves of economic growth in the regions, minimizing regional socio-economic disparities and improving the provision of public goods, especially in disadvantage regions, with due consideration of existing challenges, mainly depletion of resources (including natural resources), water deficit and degradation of land resources.

*State program of regional development for 2020-2025*, approved in December 2019, aims at increasing the economic competitiveness of regions and improving the quality of life of the population including rural development.

State program *'Development of the Agro-Industrial Complex of the Republic of Kazakhstan for 2017-2021'* [1] or Agribusiness-2021 Program and Action Plan (administered by the Ministry of Agriculture). Agribusiness-2021 Program formulates a single, overarching policy objective, which is to create conditions to enhance the competitiveness of agribusiness. It aims to increase financing, ensure availability of goods, services, and markets to agricultural producers, expand export potential of agricultural products, promote agricultural cooperatives particularly targeting small holders, increase the effective use of water and land resources, improve the quality of public services and overall effectiveness of the government in regulating the sector. The Program provides direct state support to livestock breeding and crop production by means of technology upgrade and increase of the number and quality of livestock. It focuses on development of

sheep, horse and camel breeding, provision of subsidies for production of livestock products, forage, etc. The Program plans for restoration of irrigated lands including reorganization of the irrigation network and improvement of the meliorative condition of lands. On the use of distant pastures for livestock breeding, the Program includes activities for construction/ rehabilitation of watering places and compensation of up to 80% of cost. For crop cultivation, the Program aims at crop diversification, increase in agricultural product output through the transition to science-based moisture preserving technologies applied to crop cultivation, ensuring rational agricultural land management and involvement of new lands and lands not in use.

*Kazakhstan National Livestock Development Strategy for 2018-2027* (administered by the Ministry of Agriculture), aims among other things at better use of enormous natural resource potential and promoting rural development by creating jobs in rural areas. The program promotes a brand initiative "Made in Kazakhstan" through flexible value chains and targets family farms and small holders as the core element of this initiative.

While the *Law on Energy Saving and Efficiency* (dd 13 January 2012) is cross-sectoral and centers for the most part on the government providing support to energy-intensive industry branches, heat and power generation, etc. to reduce the energy intensity of GDP, it also includes efforts of wide-reaching promotion of energy saving among diverse populations and development and implementation of mechanisms stimulating energy saving and energy efficiency, which resonates with the GEF-7 project.

*Strategic plan of the Ministry of Ecology, Geology and Natural Resources for 2017-2021* includes strategic courses on (i) improving the quality of the environment with a particular focus on waste management (collection, segregation, recycling) and conservation, (ii) conservation, reproduction and rational use of natural resources including forest reproduction and afforestation, artificial breeding of flora objects, sustainable development of fisheries.

*Tourism Industry Development Program for 2019-2025* including support for eco and agrotourism development is favored greatly by the government and regional authorities.

Given that the socio-ecological resilience of target rural landscapes is the backbone of the GEF 7 Project, synergies with the Green Economy Concept (including relevant government programs and strategies as listed above) and the Forecast scheme with matching schemes at the regional or landscape level will be sought, and results/achievements of collective efforts of rural communities be integrated in respective regional government documents and policies.

#### ***Programs and projects at the landscape level***

There is a limited number of the government and donor financed programs supporting the civil society organizations (SCO) in taking the leading role (individual or collective) in decision making to identify strategic priorities in the area of efficient landscape management, selecting the proper techniques and practices, designing the production systems so that they are adapted to the prevailing features of the society etc. Some of them can be listed:

- the *State Program of Social Procurement* is aimed at allocating government grants to the SCO at the regional and district levels, but mainly is focused on the projects seeking to satisfy social and educational needs at the local level;
- *"Damu" Fund* initially thought of as the grant allocation mechanism is mainly working with small and medium size businesses;
- *Oblast/Region Development Programs* (applicable to project target regions) including territorial development programs for each rural district aimed at solving problems of a specific area;

- Regional (oblast and district) programs of rational use of land resources (as stipulated by the Land Code and Rules for Rational Use of Land Resources). Programs provide an overview of land types, land use practices and existing land quality and land use problems at oblast and district levels.

**Sustainable Development Goals:** The project will contribute to the achievement of the following SDGs:

- **SDG 1 (poverty):** by updating landscape level and developing action plans to ensure that marginalized groups have the same rights and access to natural (1.4) and to build the resilience of the poor and people in vulnerable situations, reduce their exposure and vulnerability to extreme weather-related events and other economic, social and environmental shocks and disasters (1.5);
- **SDG 2 (hunger):** by enhancing food security & promoting sustainable agriculture through landscape resilience and application of good agricultural practices;
- **SDG 5 (gender equality):** by taking the necessary measures to ensure women's empowerment and participation in all landscape level efforts. SGP OP7 will contribute to 'put an end to all forms of discrimination against all women and girls around the world' (5.1) and will promote 'the full and effective participation of women and equal opportunities for leadership to all decision-making levels in political, economic and public life' (5.5);
- **SDG 7 (access to energy):** by facilitating the access of rural communities to affordable energy solutions and renewable energy technologies in target landscapes;
- **SDG 10 (reduce inequality within country):** by promoting social inclusion and income generating activities across target landscapes;
- SDG 11 (inclusive, safe, resilient & sustainable cities and human settlements): *by promoting sustainable and resilient rural settlements;*
- SDG 12 (sustainable consumption and production patterns): by promoting waste management
- **SDG 13 (actions to combat climate change & its impacts):** by strengthening community resilience and improving awareness raising on climate change issues;
- SDG 15 (promotion of the sustainable use of terrestrial ecosystems, halt & reverse land degradation): by restoring ecosystems, reforestation, combating desertification

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[1] *National Program for Agro-Industrial Development 2017-2021*, approved by Presidential Decree no. 420 on 14 February 2017.

## 8. Knowledge Management

**Elaborate the "Knowledge Management Approach" for the project, including a budget, key deliverables and a timeline, and explain how it will contribute to the project's overall impact.**

Achieving durable changes in attitudes and practices depends on ensuring that CBOs attain and keep abreast of knowledge and best practices and models. One of the enduring strengths of the SGP is the transfer of knowledge to local communities, including women and marginalized groups. The project will implement an inclusive knowledge management strategy that is also linked with the UCP and SGP knowledge management priorities, facilitating collaborative interactions across local, national, regional, and global levels. The receptiveness of stakeholders to knowledge inputs is an important impact driver in this regard, and it is assumed that human resources and institutional frameworks remain stable. The coordination, collaboration, and knowledge management strengthened by the project will foster systemic change and replication, thus maximizing the effectiveness, durability, and scale of socio-ecological resilience.

Each SGP grant project is designed to produce three things: global environmental and local sustainable development benefits (impacts); organizational capacities (technical, analytical, etc.) from learning by doing; and knowledge from evaluation of the innovation experience. The Kazakhstan SGP Country Programme, through the execution of knowledge sharing and management in GEF 7, will share and highlight the scope and achievements of SGP-supported initiatives and approaches for their replication and expansion. The systematization of experiences and case studies and their dissemination will identify best practices and innovations to make successful experiences replicable.

The commitment to knowledge sharing and management is integrated into the project strategy and results framework. Outputs 2.3 on *Networking and partnerships between CBOs, government, civil society, private sector and other stakeholders across the target landscapes strengthened for experience-sharing and replication of good models/practices* and 3.2 on *Best practices on adaptive management for landscape resilience identified, systematized and disseminated within and beyond the target landscapes* of the project:

- *Under Output 2.3:* The project will conduct (a) a series of discussions for multi-stakeholder advisory groups from the target landscapes to prioritize and agree on key areas of networking, experience exchange and knowledge management and (b) exchange visits, round tables, discussions among community-based projects based on agree joint workplans on collaboration and exchange of experiences across landscapes. Knowledge and experience-sharing among various stakeholders and groups will provide opportunities for, not only increasing understanding and awareness of CBOs of workable solutions for sustainable agro-ecosystems and livelihoods and productive use of RE and energy efficient technologies but will also create a platform for exploring new venues of cooperation and resource leverage for replication and upscaling of SGP proven technologies and practices. Knowledge-sharing with a wide variety of stakeholders will increase chances that sustainable practices will be replicated.
- *Under Output 3.2:* Recording and disseminating the knowledge gained through implementation of community small grants is an important aspect of the SGP, as the GEF funding is primarily intended to catalyse investments for upscaling and replication. Under this output, CBOs will be trained on collecting, recording and documenting knowledge and experiences of community development initiatives. Resources are allocated for development of lessons learned, best practices, an online database of successful projects and other knowledge products and disseminating them among relevant stakeholders groups, using print media, social media, radio, or other communication approaches. It is envisaged that ten (10) lessons learned will be formulated highlighting applied approaches and generated results of community-based initiatives, and one (1) publication with SGP best practices produced under this Output. At least one of the knowledge products will highlight women's role in ensuring social and ecological resilience.

## **9. Monitoring and Evaluation**

## **Describe the budgeted M and E plan**

The project results, corresponding indicators and mid-term and end-of-project targets in the project results framework will be monitored annually and evaluated periodically during project implementation. If baseline data for some of the results indicators is not yet available, it will be collected during the first year of project implementation. The Monitoring Plan included in the Annex 4 to the Project Document details the roles, responsibilities, and frequency of monitoring project results.

Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the [UNDP POPP](#) and [UNDP Evaluation Policy](#). The UNDP Country Office is responsible for ensuring full compliance with all UNDP project monitoring, quality assurance, risk management, and evaluation requirements.

Additional mandatory GEF-specific M&E requirements will be undertaken in accordance with the [GEF Monitoring Policy](#) and the [GEF Evaluation Policy](#) and other [relevant GEF policies](#)[1]. The costed M&E plan included below, and the Monitoring plan in the Annex to the ProDoc, will guide the GEF-specific M&E activities to be undertaken by this project.

In addition to these mandatory UNDP and GEF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Report.

### **Additional GEF monitoring and reporting requirements:**

Inception Workshop and Report: A project inception workshop will be held within 60 days of project CEO endorsement, with the aim to:

1. Familiarize key stakeholders with the detailed project strategy and discuss any changes that may have taken place in the overall context since the project idea was initially conceptualized that may influence its strategy and implementation.
2. Discuss the roles and responsibilities of the project team, including reporting lines, stakeholder engagement strategies and conflict resolution mechanisms.
3. Review the results framework and monitoring plan.
4. Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E; discuss the role of the GEF OFP and other stakeholders in project-level M&E.
5. Update and review responsibilities for monitoring project strategies, including the risk log; SESP report, Social and Environmental Management Framework and other safeguard requirements; project grievance mechanisms; gender strategy; knowledge management strategy, and other relevant management strategies.
6. Review financial reporting procedures and budget monitoring and other mandatory requirements and agree on the arrangements for the annual audit.
7. Plan and schedule Project Board meetings and finalize the first-year annual work plan.
8. Formally launch the Project.

### GEF Project Implementation Report (PIR):

The annual GEF PIR covering the reporting period July (previous year) to June (current year) will be completed for each year of project implementation. Any environmental and social risks and related management plans will be monitored regularly, and progress will be reported in the PIR. The PIR submitted to the GEF will be shared with the Project Board. The quality rating of the previous year's PIR will be used to inform the preparation of the subsequent PIR.

### GEF Core Indicators:

The GEF Core indicators included as Annex F to this document will be used to monitor global environmental benefits and will be updated for reporting to the GEF prior to MTR and TE. Note that the project team is responsible for updating the indicator status. The updated monitoring data should be shared with MTR/TE consultants prior to required evaluation missions, so these can be used for subsequent groundtruthing. The methodologies to be used in data collection have been defined by the GEF and are available on the GEF [website](#).

### Terminal Evaluation (TE):

An independent terminal evaluation (TE) will take place upon completion of all major project outputs and activities. The terms of reference, the evaluation process and the final TE report will follow the standard templates and guidance for GEF-financed projects available on the [UNDP Evaluation Resource Center](#).

The evaluation will be "independent, impartial and rigorous". The evaluators that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. Equally, the evaluators should not be in a position where there may be the possibility of future contracts regarding the project being evaluated.

The GEF Operational Focal Point and other stakeholders will be actively involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the BPPS/GEF Directorate.

The final TE report and TE TOR will be publicly available in English and posted on the UNDP ERC by *September 2025*. A management response to the TE recommendations will be posted to the ERC within six weeks of the TE report's completion.

### Final Report:

The project's terminal GEF PIR along with the terminal evaluation (TE) report and corresponding management response will serve as the final project report package. The final project report package shall be discussed with the Project Board during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information: To accord proper acknowledgement to the GEF for providing grant funding, the GEF logo will appear together with the UNDP logo on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GEF will also accord proper acknowledgement to the GEF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy[2]<sup>2</sup> and the GEF policy on public involvement[3]<sup>3</sup>.

### **Monitoring and Evaluation Plan and Budget:**

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GEF M&E requirements	Indicative costs (US\$)	Time frame
Inception Workshop and Report	1,089	Inception Workshop within 2 months of the First Disbursement
M&E of GEF core indicators and project results framework	40,923	Annually and at mid-point and closure.
GEF Project Implementation Report (PIR)	None	Annually typically between June-August
Monitoring of <i>gender action plan, SESP, stakeholder engagement plan</i>	9,443	On-going
Supervision missions	None <sup>[4]</sup>	Annually
Independent Terminal Evaluation (TE)	30,736 (includes travel costs)	September 2025
<b>TOTAL indicative COSTS</b>	<b>82,191</b>	<b>4.5%</b> of total GEF grant

[1] See [https://www.thegef.org/gef/policies\\_guidelines](https://www.thegef.org/gef/policies_guidelines)

[2] See [http://www.undp.org/content/undp/en/home/operations/transparency/information\\_disclosurepolicy/](http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/)

[3] See [https://www.thegef.org/gef/policies\\_guidelines](https://www.thegef.org/gef/policies_guidelines)

[4] The costs of UNDP CO and UNDP-GEF Unit's participation and time are charged to the GEF Agency Fee.

## 10. Benefits

**Describe the socioeconomic benefits to be delivered by the project at the national and local levels, as appropriate. How do these benefits translate in supporting the achievement of global environment benefits (GEF Trust Fund) or adaptation benefits (LDCE/SCCF)?**

SGP-OP7 is designed to achieve global environmental benefits (GEBs), as well as local benefits, in land degradation and climate change mitigation and adaptation. The project will contribute to the GEF's Land Degradation focal area Objective 1 *Support on the ground implementation of SLM to achieve LDN*. It will

restore approximately 15,000 ha of degraded agricultural land, will bring approximately 10,000 ha in target landscapes under improved practices, and promote landscape level planning and management in seven (7) target regions of Kazakhstan. On land degradation, the project will address erosion, desertification and deforestation through (i) Improved provision of agro-ecosystem and forest ecosystem goods and services (through dissemination of knowledge on agro-ecology and improved grazing/livestock maintenance); (ii) mitigated and avoided greenhouse gas emissions and increased carbon sequestration in production landscapes (reforestation, increasing plant coverage, conservation tillage). The project will also seek the sustainable mitigation of greenhouse gases (GHGs) through project interventions that promote: (i) introduction, application and dissemination of energy efficient technologies; and (ii) Increased use of renewable energy (solar, wind).

The project aims to support 15,000 direct beneficiaries of rural and peri-urban communities to increase the social, ecological and economic resilience of the seven target landscapes through community-level small grant interventions aiming at (i) conservation of land and water resources and promotion of climate adaptive solutions, with a focus on the agro-ecosystems that many rural communities rely upon and (ii) adoption of RE and energy efficient technologies and solutions.

The project recognizes that there will be little uptake of sustainable practices unless and until beneficiaries can see socio-economic benefits as a result. For that reason, the SGP is anchored on principles to enhance livelihoods whether it is through demonstrations, trainings, alternative livelihood opportunities or access to markets and loans. A few of the new themes for future products include extension communications for small farmers. In that regard, the project will seek synergies with relevant ongoing government support/subsidy programs (e.g. the Sybaga livestock development program, drip irrigation, sustainable fish farms, fish farming using a closed water system, cage farming, fish processing and final fish product production, agrotourism development, etc.), National Management Holding ?Baiterek? or DAMU Fund in leveraging state funding for upscaling of community-based projects.

The project will build capacities of CBOs, small holder farmers, individual entrepreneurs on (i) good and sustainable agroecological practices and systems (including agroforestry) in partnership with experienced NGOs and experts, extension services, local government departments, academic/research institutions, (ii) cost-effective energy efficient and renewable solutions, including for productive use (drying, heating, pumping, lighting, etc.); (iii) rules and requirements of existing state support programs of regional and rural district akimats; (iv) how to fill in and submit documents to NUM Baiterek or DAMU for state financial assistance.

## **11. Environmental and Social Safeguard (ESS) Risks**

Provide information on the identified environmental and social risks and potential impacts associated with the project/program based on your organization's ESS systems and procedures

**Overall Project/Program Risk Classification \***

<b>PIF</b>	<b>CEO Endorsement/Approval</b>	<b>MTR</b>	<b>TE</b>
<b>Medium/Moderate</b>			

**Measures to address identified risks and impacts**

Elaborate on the types and risk classifications/ratings of any identified environmental and social risks and impacts (considering the GEF ESS Minimum Standards) and any measures undertaken as well as planned management measures to address these risks during implementation.

Annex 5: Social and Environmental Screening Procedure (2021 SESP Template)

**Project Information**

<i>Project Information</i>	
1. Project Title	Seventh Operational Phase of the GEF Small Grants Program in Kazakhstan
2. Project Numbers	Atlas project ID: 00111142; PIMS+: 6450
3. Location	Kazakhstan
4. Project stage (Design or Implementation)	Design (ProDoc stage)
5. Date	September 2021

**Part A. Integrating Programming Principles to Strengthen Social and Environmental Sustainability**

**QUESTION: How Does the Project Integrate the Programming 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 will advance principles of inclusion and participation by promoting the engagement and capacity of local organizations and community groups. The project will work towards equality, in particular gender equality, by implementing interventions that will benefit the most vulnerable and marginalized – particularly women, the disabled, youth and remote populations. Moreover, SGP seeks to increase their inclusion in decision-making processes through landscape management platforms and committees made up of all representative organizations of the territory, including community organizations, local government authorities, and the private sector. It will ensure at least 50% participation of women in programme-supported mechanisms and activities.

The project is structured to meet local community needs for a more resilient landscape in the face of climate change impacts and land degradation. SGP Kazakhstan supports the meaningful participation and inclusion of all stakeholders – in particular individuals, local communities, and community organizations – in the processes of identification, prioritization and selection of initiatives, including the design, implementation and monitoring of their grant projects at community and landscape levels. This is achieved – for example – through inclusion, active participation, and capacity building, which together create an enabling environment for stakeholders’ ownership and empowerment.

***Briefly describe in the space below how the project is likely to improve gender equality and women’s empowerment***

? Gender has been considered throughout the design and implementation of this project. Women’s interests with regards to landscape resilience are presented in the project’s logical framework, and women have been a key part of the community consultations designed to understand environmental concerns and how best to address them. The project will support women’s community projects and engage them in implementation activities. They will be equal members in management structures and constitute at least 50% of the anticipated beneficiaries.

? Several civil society organizations led and/or directed by women will be considered as strategic partners of the Project for the implementation of initiatives that promote gender-sensitive activities and actions, active participation, inclusion and empowerment in their initiatives.

? A Gender Action Plan has been designed to specifically address how gender should be structured and addressed in activities.

? Resources are allocated in the project budget to regularly review and update the Gender Action Plan (GAP), and grantees will be required to include a gender analysis and an action plan in their proposals for gender responsive implementation of the individual projects, aligned with the GAP.

? The project implementation team will include gender expertise to provide guidance and ensure gender-responsive implementation of strategies and community grants for conservation and sustainable production systems and deliver gender training, as well as to monitor progress toward and achievement of the gender mainstreaming targets outlined in the Gender Action Plan.

? The UNDP gender marker for the project is GEN 2, which indicates that project outputs have gender equality as a significant objective.

***Briefly describe in the space below how the project mainstreams sustainability and resilience***

? The project will support the necessary collective action in selected landscapes in Kazakhstan for adaptive management of resources and ecosystem processes for sustainable development and global environmental benefits by strengthening organizational capacities of communities living and working in the steppe, desert and semi-desert landscapes, to act strategically and collectively in building social and ecological resilience.

? Since the previous Operational Phase, SGP Kazakhstan has been supporting the development and implementation of landscape level baseline assessments, strategies and management plans, which contribute to the strengthening and development of local capacities for the conservation, protection and comprehensive management of natural resources and life systems. Within this framework, local multistakeholder platforms and groups, and local populations take ownership of actions or projects that are part of these strategies and assume commitments for their sustainability.

? SGP will promote the development of innovative initiatives, as well as the replication of successful initiatives that contribute to improving income and livelihoods of the local population, based on management plans and sustained management of land and water resources, and adaptation to and mitigation of climate change impacts. The project also seeks to upscale successful technologies and innovations at the landscape, national and policy levels so as to impact the regional and national context. In addition, the project targets the participation of private sector actors who may be more equipped to introduce and mainstream landscape resilient practices.

? SGP permanently contributes to the generation of institutional synergies through the establishment of agreements with strategic partners (akimats - regional and local municipal authorities, NGOs/CSOs, academic & research entities and the private sector), in order to strengthen the implementation of projects and to generate additional or complementary support over the medium and long term. Thus, continuity and consolidation of environmental achievements is ensured, as well as the project's durability, replication, and/or scaling up of actions developed.

? SGP pursues mobilisation of co-financing and synergies among several government programmes, the donor community, the private sector, international and domestic NGOs, and the connections already made through ongoing GEF projects implemented by CSOs.

? Implementation of strategic projects to lead and support the CBOs to establish market linkages and formalise enterprise mechanisms.

? Building capacity of local governance mechanisms (multi-stakeholder dialogue platforms and advisory groups for each landscape) will also contribute towards the COVID-19 recovery and provide practical platforms for increasing awareness of the value of land and water resources, including the need to safeguard the safety and health of local communities. Adjustments will be made to project activities with reference to COVID 19 incorporating e-solutions where possible and supporting local communities with respect to green recovery approaches.

***Briefly describe in the space below how the project strengthens accountability to stakeholders***

The main stakeholders of the project include communities in the seven steppe, desert and semi-desert landscapes, CBOs, government and local authorities, NGOs, academic and research institutions, the private sector, and development agencies. A Stakeholder Engagement Plan based on recognized stakeholder participation methods is developed as part of the Project Document. Accountability among the stakeholders is ensured by adopting the following mechanisms and processes:

? Strengthening multi-stakeholder policy platforms and advisory groups for each landscape to facilitate interaction, knowledge sharing and dialogue throughout the project implementation phase.

? The multi-stakeholder advisory groups in each of the target landscapes to take a lead role in (i) establishing a framework for networking and experience-sharing and facilitating ideas, knowledge and experience exchanges across the landscapes, and (ii) preparing joint workplans to reinforce partnerships, collaboration and promote the replication and upscaling of successfully tested approaches and technologies in GEF-6 and 7.

? Introducing a Grievance Redress Mechanism at the community level connected to the NSC.

? Introducing procedures to demonstrate transparency in grantee selection in accordance with SGP Operational Guidelines.

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

<p><b>QUESTION 2:</b> What are the Potential Social and Environmental Risks?</p> <p><i>Note: Complete SESP Attachment 1 before responding to Question 2.</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: Describe the assessment and management measures for each risk rated Moderate, Substantial or High</b></p>
<p><b>Risk Description</b> <i>(broken down by event, cause, impact)</i></p>	<p><b>Impact and Likelihood</b> <i>(1-5)</i></p>	<p><b>Significance</b> <i>(Low, Moderate, Substantial, High)</i></p>	<p><b>Comments</b> <i>(optional)</i></p>	<p><b>Description of assessment and management measures for risks rated as Moderate, Substantial or High</b></p>

<p><b>Risk 1:</b> Community-level associations and landscape level stakeholders, including local governments (sub-national level), may not have the capacity to fulfill all aspects of their mandate as the duty-bearers towards marginalized rural community groups. Vulnerable or marginalized groups (the disabled, single parents, the youth) may have limited involvement in design of and little engagement in community projects.</p> <p><b><u>Overarching Principle: Leave No One Behind:</u></b> <b>Human Rights</b> (Question P.2) <b>Accountability</b> (Question P.13)</p>	<p>I = 3 L =3</p>	<p><b>Moderate</b></p>	<p>Particularly low capacities of local communities and authorities residing in distant rural areas in regard to participatory planning and implementation of community-based projects. The SGP OP6 programme has been addressing this challenge through its implementation. But given the size of targeted landscapes and distance between rural communities, the capacity building of landscape level stakeholders remains the key challenge for the SGP OP7 Programme in Kazakhstan.</p>	<p><i>Under Outcome 1</i>, the project will invest substantially in strengthening organizational, technical and institutional capacities of community members through the design and implementation of community-based projects in target landscapes.</p> <p><i>Under Outcome 2</i>, the project has a built-in element of multistakeholder dialogue platforms or groups to ensure the inclusion of marginalized rural community groups in the update and monitoring of landscape level strategies/management plans as well as the engagement in community projects.</p> <p><i>Under Outcome 3</i> on consolidation of knowledge management and lessons learned, SGP OP7 will use successfully tested and adapted approaches and technologies from OP6 for their replication and upscale in OP7.</p> <p>Finally, the engagement of vulnerable/marginalized groups is addressed in the project's Stakeholder Engagement Plan and Gender Action Plan that are annexed to the project document (Annexes 9 and 10)</p>
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<p><b>Risk 2:</b> Community project activities and approaches might not fully incorporate or reflect views of women and girls, and ensure equitable opportunities for their involvement and benefit.</p> <p>- <b><u>Overarching Principle: Leave No One Behind: Gender Equality and Women's Empowerment</u></b> (Questions P.9 and 11)</p>	<p>I = 3 L = 3</p>	<p><b>Moderate</b></p>	<p>Kazakhstan has nowadays a strong focus on promotion of women.</p> <p>It is important to note that women constitute a substantial part of rural communities. Therefore, promotion of resilient rural landscapes for sustainable development and global environmental protection, and multistakeholder platform as a mechanism for landscape management, adaptive management, upscaling and replication would not be effective without the engagement of women.</p>	<p>The project promotes an assertive and equitable access to opportunities for women and men (e.g. capacity building, technical assistance, support for participation and inclusion in landscape level multistakeholder groups). The project will cooperate and closely work with associations/unions or NGOs/CBOs already working on gender issues in target landscapes ensuring that their representatives will sit on multistakeholder groups and be engaged in the update of landscape level management plans.</p> <p>Project activities have been designed to include support to implementation of projects targeting women and other marginalized groups who will execute sustainable income-generating production systems</p> <p>The project's results frameworks, and the Gender Analysis and Gender Action Plan have been developed with specific activities, indicators and budget to ensure gender participation and gender equality. The Gender AP (see Annex 10) includes considerations that address their different needs and the impacts of environmental degradation and climate change on women in selected landscapes.</p> <p>All GEF SGP proposals are reviewed and approved by the National Steering Committee made up of experts in different fields, including an expert on gender and development.</p>
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**Risk 3:**

Project activities in the seven target landscapes will promote integrated agroecological practices and cropping systems that enhance productivity and sustainability of smallholder agroecosystems including agro-forestry, harvesting of forest products, harvesting of fish, pastoral systems development, etc. Poorly designed or executed community projects could produce potential negative effects on biodiversity and ecosystems in seven target landscapes.

**Project-Level Standards:**

**Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management**  
(Questions 1.1, 1.8., 1.10)

I = 3  
L = 3

**Moderate**

The project aims to promote social, economic and ecological resilience of rural landscapes (through sustainable land management and agroecological practices) on over 20,000 ha of steppe, desert and semi-desert ecosystems; promote the widespread use of energy efficient and renewable technologies in rural landscapes; build capacities of NGOs and local communities in development and implementation of adaptive management approaches in seven landscapes; and engage landscape level stakeholders in multi-sectoral dialogues for sustainable development of target landscapes. The above listed wide-scale SGP OP7 interventions could potentially affect natural ecosystems and wild species inhabiting neighboring or community-project areas, especially given that the landscape is mosaic.

The GEF OP7 Project will manage potential negative effects of community projects on biodiversity and neighboring ecosystems. To mitigate such effects, every community project will assess its potential negative impacts on biodiversity and the ecosystem. If and where needed, the assessment will be aimed at revealing species and ecosystems of special conservation concern, areas of special importance for biodiversity (KBAs and local designations/nominations), hotspots, areas with high species richness, species of concern, etc., and critically important ecosystem services and ecological processes at project sites. All project activities will be planned and implemented in a manner that excludes any damage to the identified populations and ecosystems and minimizes any risk to the critically important ecosystem services and ecological processes.

GEF OP7 will further promote sustainable pastoral systems (use of under-grazed distant pastures and rotational use of overgrazed community pastures) for improved management of pastures over the long run. Such community projects will be designed with inputs from pasture experts experienced in designing sustainable pasture management systems and rotational schemes.

Potential community-based harvesting and afforestation activities will be relatively small and designed to increase food security, build resilience, buffer rising threats that are increasing desertification, and potentially promote agroforestry, whose products contribute to sustainable management and use of the resource. Trainings will be provided by and to local community groups for sustainable management.

The SGP National Steering Committee has a high level of experience in screening community projects for potential negative environmental effects and mandates

<p><b>Risk 4:</b> Periodic droughts, floods, changes in rainfall distribution, extreme weather events such as prolonged drought periods may occur in the target steppe and desert landscapes. These climate and disaster hazards can impact the project beneficiaries, project activities and the implementation processes, and the expected results.</p> <p><b><u>Project-Level Standard:</u></b> <b>Standard 2: Climate Change and Disaster Risks</b> (Questions 2.1 and 2.2)</p>	<p>I =3 L=3</p>	<p><b>Moderate</b></p>	<p>Impacts from climate associated risks and disasters have been on the increase in recent years, similarly the exposure to disaster risks. Project outcomes regardless of level of resilience-building may be impacted by climate change</p>	<p>Increasing climate change and weather unpredictability can impact the desert and steppe landscapes. Even though project outcomes focus on building resilience of target landscapes, it is unrealistic to conceive that they would remain un-impacted by prolonged droughts or rains. The project will seek to build resilience but will also be mindful of disaster risk reduction considerations.</p> <p>CBOs will be required to include an assessment in their project proposals on climate risks and describe what measures are proposed to reduce and manage the risks. Moreover, the design and implementation of project interventions will be guided by the Country Programme Management Unit (CPMU) and the National Steering Committee (NSC) and supported by the multi-stakeholder landscape policy platforms. Regular coordination and exchange of information for early warning will be promoted.</p>
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<p><b>Risk 5:</b> Possible extension of the COVID-19 pandemic, as a result of eventual uncontrolled outbreaks, that may delay project implementation, affect the health of the beneficiaries, limit the areas in which the project can be implemented, limit face-to-face consultations among stakeholders and further exacerbate conditions of marginalized people who have limited access to resources and technology.</p> <p><b><u>Project-Level Standard:</u></b> <b>Standard 3: Community Health, Safety and Security</b> (Question 3.4)</p>	<p>I=3 L=3</p>	<p><b>Moderate</b></p>	<p>Given the characteristics of the pandemic both at a global and national level, it is not yet known when this disease will stop being a risk for humanity. It is still unclear when the COVID-19 vaccine will be available and what effective results it may trigger over time. Likewise, there is no certainty of when the entire population will have access to this vaccine. Due to the above-described situation, it is likely that - at least in 2021 - some restrictions will still be applied to prevent pandemic outbreaks. As of January 2021, although the COVID-19 pandemic in Kazakhstan continues to affect a large part of the country, incidence levels have dropped and the areas where the project will work do not show high levels of impact, although the future situation is volatile and unstable.</p>	<p>A COVID-19 Analysis was undertaken during project preparation and is annexed to the Project document.</p> <p>The execution of grant projects will be carried out applying and complying with strict bio-safety measures, reducing the possibilities of contagion from COVID-19.</p> <p>The UNDP office has established specific rules for participation and requires Project staff to have special permits for field visits. Due to the rapid spread of the pandemic, risk mitigation procedures will be developed to address potential operational delays or pauses on an ongoing basis, in order to follow the latest guidelines and warnings. More communication attempts with local beneficiaries will be ensured; moreover, site-specific protocols related to potential impacts will be applied.</p> <p>The program will consider the specific situation of each project in order to consider a flexibilization in the execution of some activities, such as established schedules and workplan deadlines. The local population, executing organizations and the National Steering Committee will coordinate these actions.</p> <p>However, to make up for possible delays due to the impossibility of SGP staff visiting the field, communication will be maintained through virtual means (WhatsApp, Skype, Zoom, etc.). The communication strategy must include specific considerations to facilitate interactions among staff members and support the exchange of information under such circumstances.</p>
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<p><b>Risk 6:</b> There is the possibility that CSOs, who manage their grants, may use funds to finance employment-livelihood activities that do not meet national and international labour standards.</p> <p><b>Project-Level Standard:</b> <b>Standard 7: Labour and Working Conditions</b> (Question 7.1)</p>	<p>I =3 L=3</p>	<p><b>Moderate</b></p>		<p>Consistent with UNDP Social and Environmental Standards, the grant applicants will be required to conduct due diligence as part of the proposal development process to ascertain that third parties who engage project workers are legitimate and reliable entities and have in place appropriate policies, processes and systems that allow them to operate in accordance with the minimum requirements in the UNDP Standard 7 on Labour and Working Conditions, as well as relevant national laws?. The NSC will ensure compliance in the review of the grant proposals. Contractor works will have access to the grievance mechanisms, described in the Stakeholder Engagement Plan. The Country Programme Management Team will carry out periodic spot checks to reinforce UNDP standards.</p>
<p><b>Risk 7:</b> Project interventions involving agrochemicals may result in release of pollutants to the environment and in the generation of hazardous waste.</p> <p><b>Project-Level Standard:</b> <b>Standard 8: Pollution Prevention and Resource Efficiency</b> (Questions 8.1, 8.2)</p>	<p>I = 3 L = 2</p>	<p><b>Moderate</b></p>	<p>Unsafe use and handling of agrochemicals and associated hazardous wastes generated (e.g., used containers) may release harmful pollutants to the environment.</p>	<p>In the grant proposals, applicants will be required to ensure that UNDP Social and Environmental Standards, as well as national environmental protection laws and derivative legislation, are followed in the execution of project activities. Non-chemical options will be promoted. In cases where agrochemicals are used, workers involved in ecosystem restoration or other activities will be trained in the safe use and management of agrochemical inputs. The Project will provide site level training as well as monitoring of safe use and management of agrochemicals and wastes generated in target landscapes.</p>
<p><b>QUESTION 4: What is the overall project risk categorization?</b></p>				
<p style="text-align: center;"><i>Low Risk</i>   ?</p>				

	<p><i>Moderate Risk</i> ?</p>		<p>The overall risk rating of the project is ?Moderate?.</p> <p>Among the seven (7) project risks identified through the SESP, six (6) have been assessed as Moderate, including the risk derived from potential COVID-19 related constraints associated with convening physical stakeholder meetings and holding group trainings in the field, and one (1) risk was rated as Low.</p> <p>To meet the SES requirements, the following safeguard plans have been prepared: (i) Stakeholder Engagement Plan (ii) Gender Analysis and Action Plan, and (iii) COVID-19 Analysis and Action Framework. These plans are annexed to the Project Document.</p> <p>Risks associated with ecosystem conservation and natural resource management, climate change, and community health, safety, and working conditions, and pollution prevention will be addressed through application of UNDP social and environmental standards, mitigation measures and proactive stakeholder engagement during project implementation. Specific management measures are captured in project design, including a Risk Register which captures all project risks, including the ones identified in the SESP, and identifies risk management measures and risk owners.</p> <p>Standard M&amp;E and adaptive management procedures will be applied during project implementation.</p>
	<p><i>Substantial Risk</i> ?</p>		
	<p><i>High Risk</i> ?</p>		
	<p><b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? (check all that apply)</b></p>		
	<p>Question only required for Moderate, Substantial and High Risk projects</p>		
<p><i>Is assessment required? (check if ?yes?)</i></p>	<p>?</p>		<p><i>Status? (completed, planned)</i></p>

	<i>if yes, indicate overall type and status</i>		?	Targeted assessment(s)	Completed project preparation: Gender Analysis, Stakeholder Analysis; COVID-19 Analysis  Planned: Update of landscape baseline assessments
			?	ESIA (Environmental and Social Impact Assessment)	
			?	SESA (Strategic Environmental and Social Assessment)	
	<b><i>Are management plans required? (check if ?yes)</i></b>		?		

	<i>If yes, indicate overall type</i>	?	Targeted management plans	<p>Completed during project preparation: Gender Analysis and Gender Action Plan; Stakeholder Engagement Plan; COVID-19 Action Framework</p> <p>Planned: Individual grant proposals will include specific safeguard management plans, including social inclusion, gender mainstreaming, ecosystem conservation, climate risk, natural hazards and disaster risk, labour, and pollution.</p>	
			?	ESMP (Environmental and Social Management Plan which may include range of targeted plans)	
			?	ESMF (Environmental and Social Management Framework)	
	<b><i>Based on identified risks, which Principles/Project-level Standards triggered?</i></b>		<b>Comments (not required)</b>		
	<b><i>Overarching Principle: Leave No One Behind</i></b>				
	<b><i>Human Rights</i></b>	?			

<i>Gender Equality and Women's Empowerment</i>	?	
<i>Accountability</i>	?	
<i>1. Biodiversity Conservation and Sustainable Natural Resource Management</i>	?	
<i>2. Climate Change and Disaster Risks</i>	?	
<i>3. Community Health, Safety and Security</i>	?	
<i>4. Cultural Heritage</i>	?	
<i>5. Displacement and Resettlement</i>	?	
<i>6. Indigenous Peoples</i>	?	
<i>7. Labour and Working Conditions</i>	?	
<i>8. Pollution Prevention and Resource Efficiency</i>	?	

### Final Sign Off

*Final Screening at the design-stage is not complete until the following signatures are included*

<i>Signature</i>	<i>Date</i>	<i>Description</i>
QA Assessor		UNDP staff member responsible for the project, typically a UNDP Programme Officer. Final signature confirms they have checked to ensure that the SESP is adequately conducted.
QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have cleared the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

<b>Checklist Potential Social and Environmental Risks</b>	
<b>INSTRUCTIONS:</b> The risk screening checklist will assist in answering Questions 2-6 of the Screening Template. Answers to the checklist questions help to (1) identify potential risks, (2) determine the overall risk categorization of the project, and (3) determine required level of assessment and management measures. Refer to the <a href="#">SES toolkit</a> for further guidance on addressing screening questions.	
<b>Overarching Principle: Leave No One Behind</b>	<b>Answer (Yes/No)</b>
<b>Human Rights</b>	
P.1 Have local communities or individuals raised human rights concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?	No
P.2 Is there a risk that duty-bearers (e.g. government agencies) do not have the capacity to meet their obligations in the project?	Yes
P.3 Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?	No
<i>Would the project potentially involve or lead to:</i>	
P.4 adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
P.5 inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities? [1]	No
P.6 restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups, including persons with disabilities?	No
P.7 exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?	No
<b>Gender Equality and Women's Empowerment</b>	
P.8 Have women's groups/leaders raised gender equality concerns regarding the project, (e.g. during the stakeholder engagement process, grievance processes, public statements)?	No
<i>Would the project potentially involve or lead to:</i>	
P.9 adverse impacts on gender equality and/or the situation of women and girls?	Yes
P.10 reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No

P.11 limitations on 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? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	Yes
P.12 exacerbation of risks of gender-based violence? <i>For example, through the influx of workers to a community, changes in community and household power dynamics, increased exposure to unsafe public places and/or transport, etc.</i>	No
<b>Sustainability and Resilience:</b> Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below	
<b>Accountability</b>	
<i>Would the project potentially involve or lead to:</i>	
P.13 exclusion of any potentially affected stakeholders, in particular marginalized groups and excluded individuals (including persons with disabilities), from fully participating in decisions that may affect them?	Yes
P.14 grievances or objections from potentially affected stakeholders?	No
P.15 risks of retaliation or reprisals against stakeholders who express concerns or grievances, or who seek to participate in or to obtain information on the project?	No
<b>Project-Level Standards</b>	
<b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b>	
<i>Would the project potentially involve or lead to:</i>	
1.1 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>	Yes
1.2 activities within or adjacent to critical habitats and/or environmentally sensitive areas, including (but not limited to) 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
1.3 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 risks to endangered species (e.g. reduction, encroachment on habitat)?	No
1.5 exacerbation of illegal wildlife trade?	No
1.6 introduction of invasive alien species?	No

1.7	adverse impacts on soils?	No
1.8	harvesting of natural forests, plantation development, or reforestation?	Yes
1.9	significant agricultural production?	No
1.10	animal husbandry or harvesting of fish populations or other aquatic species?	Yes
1.11	significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.12	handling or utilization of genetically modified organisms/living modified organisms?[2]	No
1.13	utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)[3]	No
1.14	adverse transboundary or global environmental concerns?	No
<b>Standard 2: Climate Change and Disaster Risks</b>		
<i>Would the project potentially involve or lead to:</i>		
2.1	areas subject to hazards such as earthquakes, floods, landslides, droughts, cyclones severe winds, storm surges, tsunami or volcanic eruptions?	Yes
2.2	outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters? <i>For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes</i>	Yes
2.3	increases in vulnerability to climate change impacts or disaster risks now or in the future (also known as maladaptive or negative coping 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
2.4	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	No
<b>Standard 3: Community Health, Safety and Security</b>		
<i>Would the project potentially involve or lead to:</i>		
3.1	construction and/or infrastructure development (e.g. roads, buildings, dams)? (Note: the GEF does not finance projects that would involve the construction or rehabilitation of large or complex dams)	No
3.2	air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation?	No
3.3	harm or losses due to failure of structural elements of the project (e.g. collapse of buildings or infrastructure)?	No
3.4	risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health?	Yes

3.5	transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.6	adverse impacts on ecosystems and ecosystem services relevant to communities? health (e.g. food, surface water purification, natural buffers from flooding)?	No
3.7	influx of project workers to project areas?	No
3.8	engagement of security personnel to protect facilities and property or to support project activities?	No
<b>Standard 4: Cultural Heritage</b>		
<i>Would the project potentially involve or lead to:</i>		
4.1	activities adjacent to or within a Cultural Heritage site?	No
4.2	significant excavations, demolitions, movement of earth, flooding or other environmental changes?	No
4.3	adverse impacts to 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
4.4	alterations to landscapes and natural features with cultural significance?	No
4.5	utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes?	No
<b>Standard 5: Displacement and Resettlement</b>		
<i>Would the project potentially involve or lead to:</i>		
5.1	temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)?	No
5.2	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	risk of forced evictions?[4]	No
5.4	impacts on or changes to land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
<b>Standard 6: Indigenous Peoples</b>		
<i>Would the project potentially involve or lead to:</i>		
6.1	areas where indigenous peoples are present (including project area of influence)?	No
6.2	activities located on lands and territories claimed by indigenous peoples?	No

6.3 impacts (positive or negative) to the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? <i>If the answer to screening question 6.3 is ?yes?, then the potential risk impacts are considered significant and the project would be categorized as either Substantial Risk or High Risk</i>	No
6.4 the 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
6.5 the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6 forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 5 above</i>	No
6.7 adverse impacts on the development priorities of indigenous peoples as defined by them?	No
6.8 risks to the physical and cultural survival of indigenous peoples?	No
6.9 impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.</i>	No
<b>Standard 7: Labour and Working Conditions</b>	
<i>Would the project potentially involve or lead to: (note: applies to project and contractor workers)</i>	
7.1 working conditions that do not meet national labour laws and international commitments?	<b>Yes</b>
7.2 working conditions that may deny freedom of association and collective bargaining?	No
7.3 use of child labour?	No
7.4 use of forced labour?	No
7.5 discriminatory working conditions and/or lack of equal opportunity?	No
7.6 occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle?	<b>No</b>
<b>Standard 8: Pollution Prevention and Resource Efficiency</b>	
<i>Would the project potentially involve or lead to:</i>	
8.1 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?	<b>Yes</b>
8.2 the generation of waste (both hazardous and non-hazardous)?	<b>Yes</b>

8.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	No
8.4	the 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 <a href="#">Montreal Protocol</a>, <a href="#">Minamata Convention</a>, <a href="#">Basel Convention</a>, <a href="#">Rotterdam Convention</a>, <a href="#">Stockholm Convention</a></i>	No
8.5	the application of pesticides that may have a negative effect on the environment or human health?	No
8.6	significant consumption of raw materials, energy, and/or water?	No

[1] Prohibited grounds of discrimination include race, ethnicity, sex, age, language, disability, sexual orientation, gender identity, 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 and transsexual people.

[2] See the [Convention on Biological Diversity](#) and its [Cartagena Protocol on Biosafety](#).

[3] See the [Convention on Biological Diversity](#) and its [Nagoya Protocol](#) on access and benefit sharing from use of genetic resources.

[4] Forced eviction is defined here as the permanent or temporary removal against their will of individuals, families or communities from the homes and/or land which they occupy, without the provision of, and access to, appropriate forms of legal or other protection. Forced evictions constitute gross violations of a range of internationally recognized human rights.

#### Supporting Documents

Upload available ESS supporting documents.

Title	Module	Submitted
<b>6450 KAZ_GEF_OP7_Annex 05_SESP_30 Sept 2021 (1)</b>	<b>CEO Endorsement ESS</b>	

**ANNEX A: PROJECT RESULTS FRAMEWORK (either copy and paste here the framework from the Agency document, or provide reference to the page in the project document where the framework could be found).**

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<b>This project will contribute to the following Sustainable Development Goal (s): SDG1, SDG4, SDG5, SDG7, SDG 10, SDG 12, SDG 13, SDG 15</b>				
<b>This project will contribute to the following country outcome (UNDAF/CPD, RPD, GPD):</b> UNSDCF Outcome 3.2/CPD Outcome 4. By 2025, all people in Kazakhstan, in particular most vulnerable, benefit from increased climate resilience, sustainable management of environment and clean energy, and sustainable rural and urban development. Strategic Plan Outcome 2: Accelerate structural transformations for sustainable development.				
	<b>Objective and Outcome Indicators</b>  (no more than a total of 20 indicators)	<b>Baseline</b>	<b>Mid-term Target</b>	<b>End of Project Target</b>
<b>Project Objective:</b>  To capacitate local communities and organizations to take integrated and adaptive actions for socio-ecological resilience and sustainable livelihoods in the seven target landscapes for local and global environmental benefits.	<b><u>Mandatory Indicator #1, GEF-7 Core Indicator 3:</u></b> Increased area of land restored, hectares	Over 80,000 hectares <sup>[1]</sup> of the degraded agricultural land restored through OP6 projects	At least 5,000 hectares included among the approved projects by midterm	15,000 hectares
	<b><u>Mandatory Indicator #2, GEF-7 Core Indicator 4:</u></b> Area of landscapes under improved practices (excluding protected areas), hectares	Over 11,000 hectares under sustainable land management in production systems through OP6 projects	At least 5,000 hectares	10,000 hectares

	<p><b><u>Mandatory Indicator #3, GEF-7 Core Indicator 6:</u></b> Greenhouse Gas Emissions mitigated, million metric tons of CO2e</p>	1,529 Tons CO2 emissions mitigated within the SGP OP6 CC projects	500 tons of CO2e emissions (lifetime direct) mitigated	5,064 Tons of CO2e emissions (lifetime direct) mitigated
	<p><b><u>Mandatory Indicator #4, GEF-7 Core Indicator 11:</u></b> # direct project beneficiaries disaggregated by gender as a co-benefit of GEF investment, individual people</p>	At least 31,000 individuals are directly benefiting from the projects implemented in seven landscapes in OP6	3,000 beneficiaries (of whom 1,500 are male and 1,500 are female), based on the approved projects by midterm	15,000 individuals (of whom 7,500 are male and 7,500 are female)
<b>Project component 1</b>	<b>Resilient rural and peri-urban landscapes of steppe and desert ecosystems for sustainable development and global environmental benefits</b>			
<b>Project Outcome 1:</b> Enhanced services of productive landscapes through improved community-led management practices and systems and adaptation of	<b>Indicator #5:</b> Number of households (disaggregated by gender) adopting sustainable agroecological practices and sustainable land management schemes	Unknown	At least 50 households (disaggregated female-led or male-led)	At least 150 households (disaggregated female-led or male-led)

appropriate low emission, efficient and clean technologies and solutions	<b>Indicator #6:</b> Number of organizations in target landscapes that benefited from RE and energy efficient technologies and solutions for productive use	37 organizations were involved and benefited from the CCM projects (including schools, colleges, farming organizations, etc.)	At least seven organizations	At least 35 organizations
<b>Outputs to achieve Outcome 1</b>	Output 1.1: Community-level small grant projects implemented that enhance agro-ecosystem services through improved land and water management practices and climate adaptive solutions in target landscapes			
	Output 1.2: Community level initiatives implemented that apply RE and energy efficient technologies and solutions for productive use			
<b>Project component 2</b>	<b>Enhancing landscape sustainability through participatory governance and upscaling of best practices</b>			
<b>Outcome 2:</b> Participatory policy dialogue strengthened for landscape governance to enhance socio-ecological resilience	<b>Indicator #7:</b> Number of local CBOs and stakeholders in each landscape participating in multi-stakeholder dialogue platforms (with disaggregation by women-led community organizations)	Unknown	At least five in each multistakeholder dialogue group (at least two are women-led or women-focused organizations)	At least eight in each multistakeholder dialogue group (at least 3 are women-led or women-focused organizations)

	<b>Indicator #8:</b> Number of landscape strategies updated and landscape action plans developed through participatory consultation and implemented by multi-stakeholder groups in each target landscape	Seven landscape strategies formulated and endorsed in OP6	Seven landscape strategies updated and 7 action plans developed and approved by multi-stakeholder groups	Seven landscape strategies and management action plans under implementation and evaluated at end of project
<b>Outputs to achieve Outcome 2</b>	Output 2.1. Multi-stakeholder policy dialogue platforms strengthened for improved governance of target landscapes			
	Output 2.2. Landscape strategies updated and landscape action plans for effective governance developed based on results of participatory rapid assessments and consultations in the selected landscapes			
	Output 2.3. Networking and partnerships strengthened between CBOs, government, civil society, private sector and other stakeholders across the target landscapes for experience-sharing and replication of good models/practices			
<b>Outcome 3:</b> Strengthened capacities and systems for upscaling of successful community initiatives	<b>Indicator #9:</b> Number of SGP technologies, practices or approaches successfully replicated and up-scaled in and beyond the target landscapes	Five SGP technologies replicated in and beyond the target landscapes in OP6	At least two technologies, practices or approaches are replicated or up-scaled within or beyond the target landscapes	At least five technologies, practices or approaches are replicated or up-scaled within or beyond the target landscapes
	<b>Indicator #10:</b> Number of KM products produced and distributed in the target landscapes and outside for experience-sharing, replication and up-scaling	30 lessons learned documents and 7 case-studies developed in OP6	At least five lessons learned documents developed	At least 15 lessons learned developed and distributed  At least seven case-studies (one per landscape) developed

<b>Outputs to achieve Outcome 3</b>	Output 3.1. Strategic projects implemented to enable promotion, up-scaling and replication of SGP best practices and experience both within and outside target landscapes
	Output 3.2. Best practices on adaptive management for landscape resilience identified, systematized and disseminated within and beyond the target landscapes
<b>Project component 3</b>	<b>Monitoring and Evaluation</b>
<b>Outcome 4: Sustainability of project results enhanced through participatory monitoring and evaluation</b>	
<b>Outputs to achieve Outcome 4</b>	Output 4.1: Project implementation effectively monitored and evaluated

**Project Components, Outcomes, Outputs and Indicative Activities**

<b>COMPONENT 1: <i>Resilient rural and peri-urban landscapes of steppe and desert ecosystems for sustainable development and global environmental benefits</i></b>	
<b><u>Outcome 1: Enhanced services of productive landscapes through improved community-led management practices and systems and adaptation of appropriate low emission, efficient and clean technologies and solutions</u></b>	
<b>Outputs</b>	<b>Indicative Activities</b>
1.1. Community-level small grant projects implemented that enhance agro-ecosystem services through improved land and water management practices and climate adaptive solutions in target landscapes	<p>1.1.1. Support to implementation of community-level small grant projects in the selected landscapes applying integrated agroecological practices and cropping systems that enhance productivity and sustainability of smallholder agroecosystems</p> <p>1.1.2. Support to implementation of projects targeting women and other marginalized groups executing sustainable income-generating production systems</p> <p>1.1.3. Capacity building of CBOs, small holder farmers, individual entrepreneurs on (i) good and sustainable agroecological practices and systems (including agroforestry) in partnership with experienced NGOs and experts, extension services, local government departments, academic/research institutions, (ii) on rules and requirements of existing state support programs of regional and rural district akimats; (iii) on how to fill in and submit documents to NUM Baiterek or DAMU for state financial assistance.</p> <p>1.1.4. Monitoring and evaluation of the results of the community projects and sharing the findings</p>
1.2. Community level initiatives implemented that apply RE and energy efficient technologies and solutions for productive use	<p>1.2.1. Support to implementation of community-level small grant projects in the selected landscapes that enhance mitigation and adaptation to climate change impacts, particularly by demonstrating the use of energy efficient technologies and energy alternatives</p> <p>1.2.2. Capacity building of community members and stakeholders on cost-effective energy efficient and renewable solutions, including for productive use (drying, heating, pumping, lighting, etc.), as well as on existing state support/subsidy programs of regional and rural district akimats, NUM Baiterek or DAMU, their specific rules and requirements for submission</p> <p>1.2.3. Monitoring and evaluation of the results of the community projects and sharing the findings</p>
<b>COMPONENT 2: <i>Enhancing landscape sustainability through participatory governance and upscaling of best practices</i></b>	
<b><u>Outcome 2: Participatory policy dialogue strengthened for landscape governance to enhance socio-ecological resilience</u></b>	

<p>2.1. Multi-stakeholder policy dialogue platforms strengthened for improved governance of target landscapes</p>	<p>2.1.1. Updates to the stakeholder mapping carried out in GEF-6 through participatory consultations with local stakeholders (including marginalized rural community groups) in the target landscapes, updates to terms of reference for multi-stakeholder governance platforms, indicating proposed members, roles and responsibilities, promoting equitable representation and participation by women and marginalized groups.</p> <p>2.1.2. Strengthening of multi-stakeholder governance platforms for the intervention landscapes through convening strategic planning workshops and capacity building sessions.</p> <p>2.1.3. Building the capacity of stakeholders on gender mainstreaming</p> <p>2.1.4. Advocacy of and assistance to local akimats in mainstreaming the multi-stakeholder policy dialogue platforms into local consultation and planning structures, such as councils for sustainable economic development.</p>
<p>2.2. Landscape strategies updated and landscape action plans for effective governance developed based on results of participatory rapid assessments and consultations in the selected landscapes</p>	<p>2.2.1. Update landscape strategies and prepare landscape action plans for the target landscapes using the results of the participatory rapid assessments, follow-up consultations with local stakeholders (NGOs/CBOs, marginalized rural community groups, government authorities, women's groups, business community, educational and academic institutions, etc.) and the outcomes of community-based interventions in GEF-6. Updated landscape strategies and action plans will ensure representation and participation of women and other marginalized groups.</p> <p>2.2.2. Present updated landscape strategies and draft landscape action plans to the multi-stakeholder policy dialogue platforms and the SGP National Steering Committee for endorsement.</p> <p>2.2.3. Prepare and disseminate information on the updated landscape strategies and action plans to stakeholders within the intervention landscapes through print media, social media and local media outlets.</p>
<p>2.3 Networking and partnerships strengthened between CBOs, government, civil society, private sector and other stakeholders across the target landscapes for experience-sharing and replication of good models/practices</p>	<p>2.3.1. Conduct a series of discussions for multi-stakeholder advisory groups from the target landscapes to prioritize and agree on key areas of networking, experience exchange and knowledge management.</p> <p>2.3.2. Multi-stakeholder advisory groups prepare joint workplans to reinforce partnerships, collaboration and exchange of experiences across landscapes, and to promote the replication and upscaling of successfully tested approaches and technologies in GEF-6 and 7.</p> <p>2.3.3. Multi-stakeholder advisory groups prepare, agree and sign a plan for networking and exchange visits with defined activities, timeframes, responsible parties, etc.</p> <p>2.3.4. Members of multi-stakeholder advisory groups participate in exchange visits, round tables, discussions among community-based projects.</p>
<p><b><u>Outcome 3: Participatory policy dialogue strengthened for landscape governance to enhance socio-ecological resilience</u></b></p>	

<p>3.1 Strategic projects implemented to enable promotion, up-scaling and replication of SGP best practices and experience both within and outside target landscapes</p>	<p>3.1.1. Prepare terms of reference for a strategic project and present to the NSC for endorsement.</p> <p>3.1.2. Award strategic upscaling and replication grant(s) to NGOs/CBOs in partnerships with relevant government programs and/or initiatives sponsored by private sector and other stakeholders.</p> <p>3.1.3. Implement strategic upscaling and replication grant(s).</p>
<p>3.2. Best practices on adaptive management for landscape resilience identified, systematized and disseminated within and beyond the target landscapes</p>	<p>3.2.1. Train CBOs (including women and other marginalised groups) on collecting and documenting information gained through implementation of community projects.</p> <p>3.2.2. Develop case studies and other knowledge products highlighting best practices on adaptive management for landscape resilience, including at least one case study highlighting the role of women.</p> <p>3.2.3. Present and share generated lessons learned and best practices in each of the selected landscapes and beyond.</p> <p>3.2.4. Disseminate the lessons learned and best practices (including specific knowledge products targeted for women and other marginalized groups) among relevant stakeholder groups including regional and local akimats through appropriate communication techniques, including SGP website, print media, social media and other local media outlets.</p>
<p><b>COMPONENT 3: <i>Monitoring and Evaluation</i></b></p>	
<p><b><u>Outcome 4: Sustainability of project results enhanced through participatory monitoring and evaluation</u></b></p>	
<p>4.1. Project implementation effectively monitored and evaluated</p>	<p>4.1.1. Organize the project inception workshop, including review of multi-year work plan, project results framework, gender analysis and gender action plan, stakeholder engagement plan, social and environmental screening procedure, etc., and prepare an inception report to provide guidance for initiating the implementation of the project.</p> <p>4.1.2. Organize twice per year NSC meetings, providing strategic guidance to the country programme management unit and approving project grants.</p> <p>4.1.3. Monitor and evaluate project progress, risks and results, facilitating adaptive management, ensuring gender mainstreaming objectives from the GAP are achieved, preparing PIRs and annual project progress reports and organizing periodic financial auditing services.</p> <p>4.1.4. Monitor the implementation of the stakeholder engagement plan.</p> <p>4.1.5. Monitor the implementation of the gender action plan, with the support of a gender specialist</p> <p>4.1.6. Assess end-of-project achievement of GEF core indicator targets.</p> <p>4.1.7. Procure and support an independent terminal evaluation of the project, according to UNDP and GEF guidelines.</p>

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[1] The envisaged OP6 target for the increased area of land restored was set at 10,000 ha. As indicated in the baseline, the OP6 project exceeded this target and reported 81,329 ha under sustainable agro-ecological practices and systems in the 2021 final PIR. This became possible due to a LD project on sustainable pasture management and introduction of an electronic pasture management system for a rural okrug--all components totaling 53,000 ha. Since there is no guarantee that a project of similar size will be approved in OP7, a more conservative but a 30% higher indicator vs the envisaged OP6 indicator has been set for this funding cycle.

**ANNEX B: RESPONSES TO PROJECT REVIEWS (from GEF Secretariat and GEF Agencies, and Responses to Comments from Council at work program inclusion and the Convention Secretariat and STAP at PIF).**

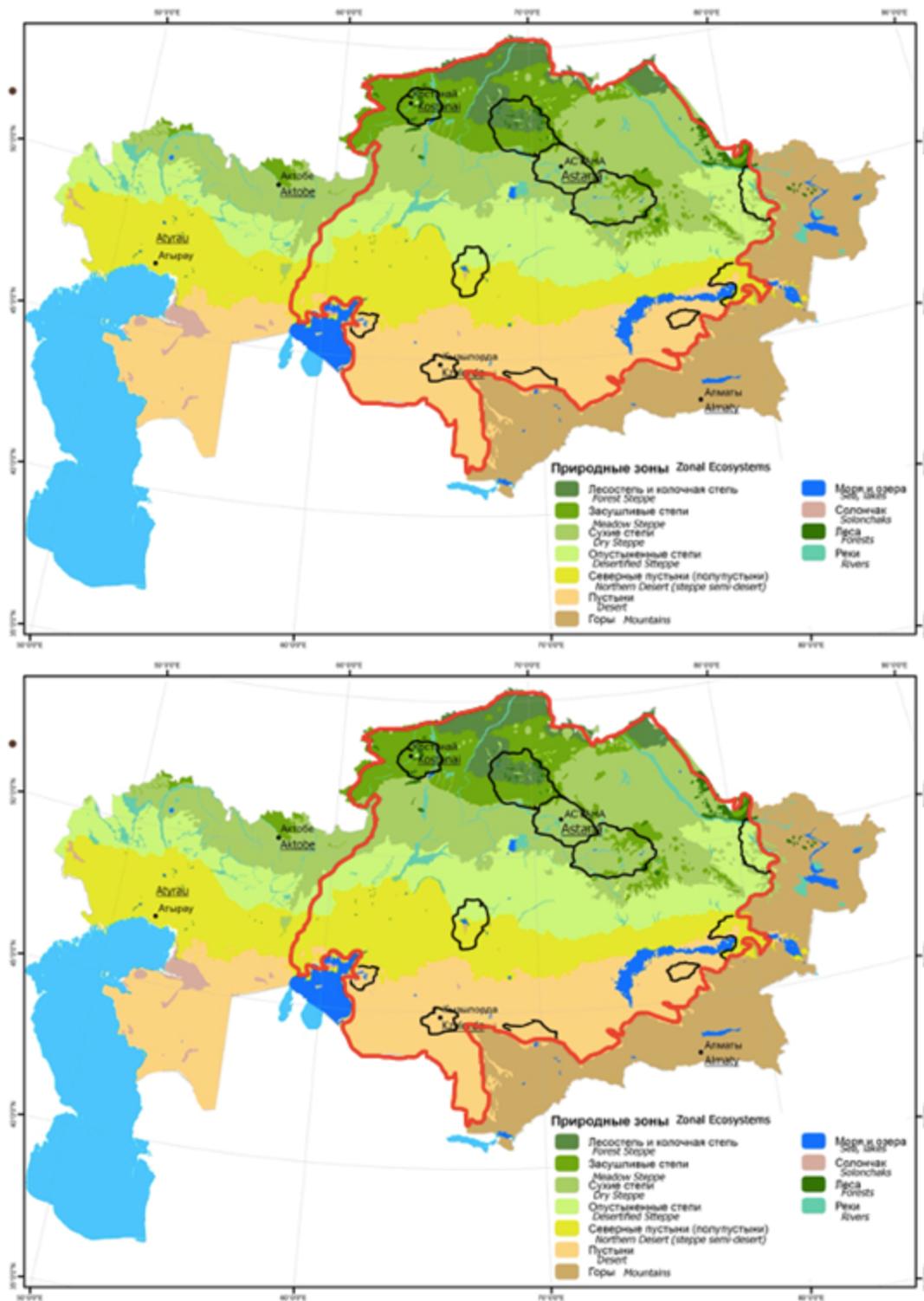
n/a

**ANNEX C: Status of Utilization of Project Preparation Grant (PPG).  
(Provide detailed funding amount of the PPG activities financing status in the table below:**

n/a

**ANNEX D: Project Map(s) and Coordinates**

**Please attach the geographical location of the project area, if possible.**



Note: The areas with black borders represent the envisaged project area (rural and peri-urban areas around big cities/capitals of target landscapes)

**Geospatial coordinates of project sites:**

Target	Region	Midpoint geocoordinates
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<b>ecosystem/landscape</b>		<b>Latitude</b>	<b>Longitude</b>
semi-desert & desert	Almaty	44.57831730198172	77.1335053674616
forest-steppe, steppe, dry steppe	Akmola	51.706211778530516	68.0214134406591
forest-steppe, steppe, dry steppe	East Kazakhstan	50.03404478637388	80.89145735569146
forest-steppe, steppe, dry steppe	Karaganda	47.93709417365705	70.77034968640346
forest-steppe, steppe, dry steppe	Kostanai	51.74066353028728	63.75326886930053
semi-desert & desert	Kzylorda	45.45450236910353	62.94151019818178
semi-desert & desert	Turkestan	42.43953458534679	67.76230154234938

### **ANNEX E: Project Budget Table**

**Please attach a project budget table.**

Annex 1: GEF Budget

Expenditure Category	Detailed Description	Component (USDeq.)					Total (USD eq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency) [1]		
		Component 1	Component 2			Sub-Total			M & E	PM C
			Outcome 1	Outcome 2	Outcome 3					
<b>Works</b>							0			
<b>Goods</b>	Computer/IT equipment						9 366	UNOPS		
<b>Vehicles</b>							0			
<b>Grants/ Sub-grants</b>	Regular grants (max. US\$50k)	1 067 420	54 488		1 121 908		1 121 908	UNOPS		
	Strategic grants (max. US\$150k)			163 320	163 320		163 320	UNOPS		
<b>Revolving funds/ Seed funds / Equity</b>							0			
<b>Sub-contract to executing partner/ entity</b>							0			
<b>Contractual Services ? Individual</b>							0			
<b>Contractual Services ? Company</b>							0			
<b>International Consultants</b>	Midterm Reviewer, international/lead						0			
	Terminal Evaluator					27	27			

**ANNEX F: (For NGI only) Termsheet**

Instructions. Please submit an finalized termsheet in this section. The NGI Program Call for Proposals provided a template in Annex A of the Call for Proposals that can be used by the Agency. Agencies can use their own termsheets but must add sections on Currency Risk, Co-financing Ratio and Financial Additionality as defined in the template provided in Annex A of the Call for proposals. Termsheets submitted at CEO endorsement stage should include final terms and conditions of the financing.

n/a

**ANNEX G: (For NGI only) Reflows**

Instructions. Please submit a reflows table as provided in Annex B of the NGI Program Call for Proposals and the Trustee excel sheet for reflows (as provided by the Secretariat or the Trustee) in the Document Section of the CEO endorsement. The Agency is required to quantify any expected financial return/gains/interests earned on non-grant instruments that will be transferred to the GEF Trust Fund as noted in the Guidelines on the Project and Program Cycle Policy. Partner Agencies will be required to comply with the reflows procedures established in their respective Financial Procedures Agreement with the GEF Trustee. Agencies are welcomed to provide assumptions that explain expected financial reflow schedules.

n/a

**ANNEX H: (For NGI only) Agency Capacity to generate reflows**

Instructions. The GEF Agency submitting the CEO endorsement request is required to respond to any questions raised as part of the PIF review process that required clarifications on the Agency Capacity to manage reflows. This Annex seeks to demonstrate Agencies' capacity and eligibility to administer NGI resources as established in the Guidelines on the Project and Program Cycle Policy, GEF/C.52/Inf.06/Rev.01, June 9, 2017 (Annex 5).

n/a