CASP+
Community-based agriculture Support Programme 'plus'

Annex 6

Social Environment and Climate Assessment – SECAP

Picture: Annex 16

Contents

Executive Summary

i. Tajikistan is one of the most vulnerable countries in Central Asia to climate risks. Temperatures are increasing across the country and there is a clear shift in precipitation patterns. These changes pose a threat to the agricultural cropping calendar as well as to the productivity of pastures. Crop productivity is also negatively impacted by the higher temperatures that increase evapotranspiration and have an overall negative impact on plant growth. Specialised tools developed to predict the impact of climate change on agriculture production, such as the Climate Adaptation in Rural Development (CARD) predicts that climate change will affect both irrigated and rain-fed production systems - and under the pessimistic risk setting all crop yields are projected to decrease moderately in the next five years up to 2025 and more severely by 2050. Rice production will be most affected, after wheat and sunflower. Climate change is also expected to impact production of fodder and the carrying capacity of pastures and animal morbidity and mortality which can, paradoxically, lead to overstocking as a risk mitigation measure by smallholder farmers trying to sustain their vulnerable livelihoods. Climate change can also affect availability of water for livestock, as well as animal health, welfare and productivity through emergence of new diseases, and increased temperature on animal physiology. The country is also prone to frequent natural disasters including floods, mudflows, landslides and droughts. Climate projections predict a worsening of the trends and events, with significant impacts on ecosystems, livelihoods and the economy. The country's geographic characteristics as well as its high levels of poverty and dependence on the agriculture sector present significant challenges for future adaptation. The climate change vulnerability analyses suggest higher adaptation needs in rural mountainous area.

ii. Overall, the project is categorized as a **Category B** based on an evaluation procedure and a standardized questionnaire that assessed the likelihood, frequency, intensity, manageability, duration and reversibility of a range of risks and the significance of potential impacts were low (or medium in few cases). Overall, the programme is not expected to have any significant adverse environmental or social implications. Environmental risks associated with activities such as construction of agricultural infrastructure or rehabilitation of rural roads will follow the environmental laws of Tajikistan and IFAD environmental and social policy. Tajikistan has a well-developed environmental legal and regulatory framework. Current environmental legislation in Tajikistan includes statutory acts and laws on the following topics: (i) protection of the environment; (ii) ecological audit and monitoring; (iii) protection of flora and fauna; (iv) environmental information and education; (v) soil, water and air quality; (vi) biological safety; (vii) human health and safety; and (viii) waste and chemicals management. These laws, along with the regulations approved by the Government of Tajikistan (GoT), create a favorable legal framework for environmental protection and for the use and protection of the country's natural resources.

iii. This document represents the detailed Social, Environmental and Climate Assessment Procedures (**SECAP**).[1] It provides an overview of the major social, environmental and climate challenges in Tajikistan (**Sections 2-5**). It provides some recommendations to

[1] The Social, Environmental and Climate Assessment Procedures (SECAP) is IFAD's main safeguard instrument to enhance the sustainability of results-based country strategic opportunities programmes, country strategy notes, programmes and projects. The risk assessment process recognizes the heterogeneity of responses, given the widely different country and community circumstances. All IFAD projects are required to perform a SECAP.

guide the executing entities (**Sections 6-8**). An ESMP is provided in Section 10. Appendices are providing required instruments to implementation, spanning targeting tools (**Appendix 1**), institutional analysis (**Appendix 2**), guiding questions for ESMF and terms of reference for environmental and impact assessment specialists (**Appendix 3**), detailed grievance redress mechanis (**Appendix 4**), proposed social inclusion and envirnment and Climate Related Indicators (**Appendix 5**), the integration of agroecological principles in CASP+ activities (**Appendix 6**), Roles and responsibilities related to safeguards in execution (**Appendix 7**) and a reference to stakeholders engagement process (**Appendix 8**). This document is complemented by detailed and referenced information on climate and environment provided in CASP+ **Annex 2.1** (CC Impacts And Climate Vulnerabily) and **Annex 16** (climate atlas).

iv. The screening of the CASP+ was conducted on a preliminary basis at the project concept stage for consideration at the IFAD's Operational Strategy and Policy Guidance Committee (OSC) review stage, and then finalized in advance of the quality enhancement review. The consultations that took place as part of the design process confirmed the initial screening. The assessment process involves a review and approval of project documentation by IFAD's Executive Board, the MoA/PMU and the CEP as part of the project cycle approval process. In all the steps, a number of internal and external evaluators provided inputs and peer review of the process.

1. Introduction

1. Main objective of the Social Environment and Climate Assessment Procedures (SECAP) is to inform and strategically orient the CASP+ programme team and the government of Tajikistan on social, environmental and climate change issues. It includes: (i) a synthesis of the key climate, environmental and social challenges identified as mainstreaming priorities for IFAD and GCF; (ii) an institutional analysis; and (iii) key recommendations to address the challenges to targeting vulnerable groups including women, youth, indigenous peoples, people with disabilities and undernourished individuals in the face of climate change, land degradation and other environmental challenges. An appendix on climate change impacts, climate vulnerability analysis for geographic targeting and related recommendations by sector is attached as part of Feasibility study.
2. Significant constraints were present during the SECAP note study. The Covid-19 pandemic did not allow the original design team to undertake the mission in the country. The mission team worked together remotely, and organized virtual meetings to coordinate with the local government bodies and other stakeholders.
3. Consequently, this study is mostly based on a desk review and is enriched by: the outcomes of relevant discussions with the government and partners; the team work with local consultants present on the field; an analysis of geographic information system datasets downscaled at national level for Tajikistan through remote sensing; and information from the Working Papers on Natural Resources Management, and Governance, produced for the (on-going) preparation of the National Investment Plan for Sustainable Agriculture Development and Food Security 2021-2030 (NIP).

2. Situational analysis and potential programme impacts

2.1 Socio-economic and nutritional assessment

4. **Population**: According to the National Statistical Agency, the total population of Tajikistan accounts for 9.3 Million. As of July 2020, the regional population distribution was the following, showing higher percentage in Khatlong Region (3,3 Million) followed by Sughd (2,7Million)2:

	Population number as of 01.07.2020, thsd.persons	*in % to the corresponding period of the previous year*
Republic of Tajikistan	**9391.7**	**101.9**
GBAO	230.0	100.9
Sogd oblast	2726.0	101.8
Khatlon oblast	3380.8	102.1
Dushanbe	867.4	101.9
RRS	2187.5	102.0

Figure 1: Population by region. Source: Food Security and Poverty, Statistical Agency under the President of the Republic of Tajikistan, 2020.

[2] Food Security and Poverty, Statistical Agency under President of the Republic of Tajikistan, 2020
Available at: https://stat.ww.tj/posts/February2021/2-2020_angl..pdf

5. Women account for 51.5% of the population. Households are larger on average in rural areas (6.5 persons) than urban areas (4.8 persons). Overall men head the majority of households (79%), with only 21% headed by women (being 84% male headed and 16% female headed in rural areas). More than half (55%) of the population is under age 25, and 38% are younger than 15. Four percent of the population is age 65 and older (TajDHS, 2017)[3].

6. **Poverty**: Extreme poverty, measured by the international poverty line of US$1.90 per day (WB data from 2003 to 2014)[4], fell markedly from 27 percent in 2003 to 4 percent in 2014. According to the Government's own calculations, using a national poverty line, poverty declined, over the same time horizon from 81 percent to 32 percent in 2014 (Tajstat, 2015)[5].

7. The most recent poverty data available at national level (2019) register a further decline to 26.3 with extreme poverty at 10.7 (Tajstat, 2020)[6].The thresholds of the national poverty line (2009) on monthly consumption are calculated as follows: less than TJS162 for poor, less than TJS230 for vulnerable, and less than TJS294 for middle class[7].

8. Comparing the per-capita monthly consumption aggregate to the poverty lines yields a national extreme (food) poverty rate of 16.8 percent and a total poverty rate of 32 percent (as official 2014 data). Poverty in Tajikistan (2014 data) is higher in RRS, Khatlon and GBAO and to a lesser degree in Sughd. Poverty is also higher in rural areas (36.1 percent) than in urban households (23.5 percent). Extreme Poverty in rural areas is 19.7 percent[8].

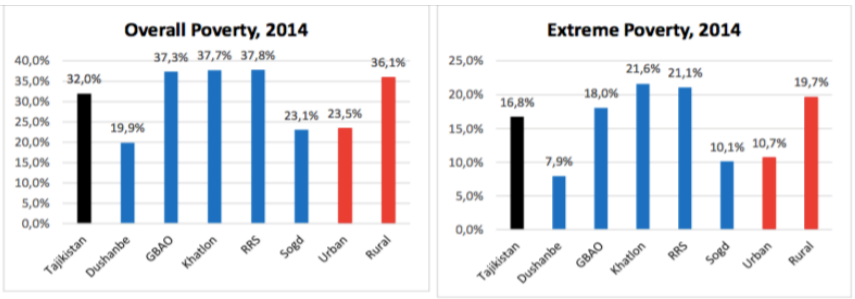

Figure 2: Overall poverty and extreme poverty in Tajikistan in 2014. Source: Agency on Statistics, Poverty measurement in Tajikistan, 2015

9. In 2014 Khatlon accounted for highest percentage of extreme poverty at 21% followed by RRS with 21,1%, GBAO with 18% and then Sughd with 10%. The poor are concentrated in rural Tajikistan (81 %) and in three regions of Khatlon, GBAO and RRS.

[3] Tajikistan, Demographic and health Survey, 2 Statistical Agency under President of the Republic of Tajikistan, 2017
Available at: https://dhsprogram.com/publications/publication-fr341-dhs-final-reports.cfm
[4] Data available at: https://data.worldbank.org/topic/11
[5] Official figures indicate that the poverty rate dropped from 81% in 2000 to 30.3% in 2016. Source: "Dynamics of poverty reduction in Tajikistan," Statistical Agency under President of the Republic of Tajikistan. The extreme poverty rate (measured by food poverty line at 2,250 Kcal per person a day) dropped from 20%in 2012 to 16.8%in 2014,
Available at: http://www.stat.tj/ru/news/307/
https://stat.ww.tj/files/metodologia_bednosti_anglisi.pdf
[6] 2019 poverty rate according to national Agency of statistics: Food Security and Poverty, Statistical Agency under President of the Republic of Tajikistan, 2020 (matrix pp144).
https://stat.ww.tj/posts/February2021/2-2020_angl..pdf
[7] Poverty measurement in tajikistan: methodological note, Tajstat 2015.
Available at: https://stat.ww.tj/files/metodologia_bednosti_anglisi.pdf
[8] *Ibidem*

Indeed, almost four out of five poor persons lives in rural households. Also, as of 2014 statistics, almost 2/3 of the poor are in the regions of Sughd (30,2%) and Khatlon (36,7%).

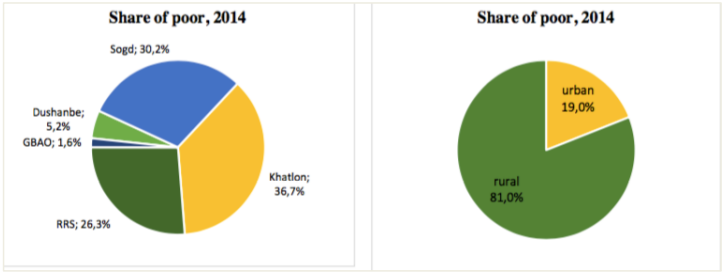

Figure 3: Share of poor in Tajikistan in 2014. Source: Agency on Statistics, Poverty measurement in Tajikistan, 2015

10. There is substantial spatial and seasonal variation in poverty. Most rural areas are poorer than urban ones, and poverty and income insecurity are higher during winter and spring[9].

11. **Extreme Poverty and gender:** In 2015 UNDP conducted a survey on: "*mapping registered extreme poverty in rural Tajikistan* (2016)"[10]. The analysis is based on poverty information for the 427 rural and township jamoats where around 79% of the country's population lives. It emerged that the total number of extreme poor registered by jamoats was 163,617. Women accounted for 40% of this figure.

Region	Population	Poor	Female Poor	Poor households	Female-led poor households
Gorno-Badakhshan Autonomous Region (Badakh)	192,136	4,364	1,722	803	257
Districts of Republican Jurisdiction (Center)	1,842,253	45,758	18,505	8,668	3,076
Khatlon	2,723,180	65,354	25,395	11,796	4,315
Sughd	1,977,271	48,141	19,352	9,137	3,365
Total	**6,734,840**	**163,617**	**64,974**	**30,404**	**11,013**

Figure 4: Extreme poverty in Tajikistan by region in 2015. Sources: JAMBI dataset, based on records of jamoat social assistance commissions.

12. The data collected by jamoats allows for an exploration of gender differences in terms of extreme poverty. As the numbers reported indicate, there were 64,974 women, or 39.7% of all extreme poor registered in rural and township jamoats in 2015. Of the 30,404 extremely poor households listed in the same table, 11,013 were headed by women, which translates into a 36.2 % share of female-headed households (FHHs) among all extreme poor households. (UNDP, 2016).

13. **Human Development Index (HDI):** Tajikistan's 2019 HDI of 0.668 is above the average of 0.631 for countries in the medium human development group and below the average of 0.791 for countries in Europe and Central Asia. From Europe and Central

[9] *Ibidem*
[10] UNDP, mapping registered extreme poverty in rural Tajikistan, 2016
Document available at: http://untj.org/jambi-project/images/Extreme-Poverty_ENG.pdf

Asia, Tajikistan is compared with Kyrgyzstan and Uzbekistan, which have HDIs ranked 120 and 106, respectively (UNDP, 2020)[11].

	HDI value	HDI rank	Life expectancy at birth	Expected years of schooling	Mean years of schooling	GNI per capita (2017 PPP US$)
Tajikistan	0.668	125	71.1	11.7	10.7	3,954
Kyrgyzstan	0.697	120	71.5	13.0	11.1	4,864
Uzbekistan	0.720	106	71.7	12.1	11.8	7,142
Europe and Central Asia	0.791	—	74.4	14.7	10.4	17,939
Medium HDI	0.631	—	69.3	11.5	6.3	6,153

Figure 5: Tajikistan Human Development Index (HDI). Source: UNDP Human Development Report, 2020

14. **Gender Development Index (GDI):** The 2019 female HDI value for Tajikistan is 0.586 in contrast with 0.712 for males, resulting in a GDI value of 0.823, placing it into Group 5. 2 In comparison, GDI values for Kyrgyzstan and Uzbekistan are 0.957 and 0.939, respectively (UNDP,2020).

	F-M ratio	HDI values		Life expectancy at birth		Expected years of schooling		Mean years of schooling		GNI per capita	
	GDI value	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male
Tajikistan	0.823	0.586	0.712	73.4	68.9	10.7	12.6	10.2	11.3	1,440	6,427
Kyrgyzstan	0.957	0.677	0.707	75.6	67.4	13.2	12.7	11.2	11.0	2,971	6,798
Uzbekistan	0.939	0.695	0.740	73.8	69.6	11.9	12.2	11.6	12.0	5,064	9,230
Europe and Central Asia	0.953	0.768	0.806	77.7	71.1	14.5	14.8	9.9	10.7	12,373	23,801
Medium HDI	0.835	0.567	0.679	70.8	67.9	11.7	11.4	5.3	8.1	2,530	9,598

Figure 6: Tajikistan Gender Development Index (HDI). Source: UNDP Human Development Report, 2020

15. In Tajikistan, 20.0 percent of parliamentary seats are held by women. Life expectancy at birth for the total population (both sex) is 70. It is higher for women at 70 compared to men at 67.9 The median number of years of schooling among women is 10.2 compared with 11,3 years for men (UNDP,2020)[12].

16. **Gender inequalities**. According to the UN Women Brief for Tajikistan13, women face discrimination and inequality in social, economic and political life. Their representation in Tajik politics and decision-making remains below international standards. A poor domestic economic has seen nearly one in five Tajik citizens – 1.5 million – work abroad, roughly 90 per cent of them in Russia. Most of the emigrants are male. Their left-behind or "abandoned wives" become de-facto heads of households, solely responsible for generating family income – despite limited access to education, resources, micro-credit, social protection and employment, particularly in rural settings. Abandonment is exacerbated by the negative social norms and traditional attitudes to women's status and rights within the family and society (UN Women, 2020).

17. Sections on Laws and Policies on Gender Equality, National mechanisms, Gender Based Domestic Violence, Women's role in agriculture activities and Women-led Dekhan farms are presented in **Appendix 1.**

18. **Vulnerability to Climate Change from a gender perspective**: Tajikistan is at significant risk from disasters triggered by natural hazards. Food security is highly susceptible to drought and transportation links are vulnerable to flooding. Climate change threatens the food security especially for those who depend on small-scale subsistence farming. Women suffer disproportionately from this insecurity because they

[11] UNDP, Human Development Report, 2020
Document available at: http://hdr.undp.org/sites/all/themes/hdr_theme/country-notes/TJK.pdf
[12] *ibidem*
[13] https://eca.unwomen.org/en/where-we-are/tajikistan

are often responsible for securing income from agriculture plots and providing for their families; however, they have limited access to information and support. Female farmers and female-headed households are frequently among the most vulnerable in rural areas, and often have very limited capacity to cope with or recover from weather-related losses. This clearly emerged from consultation with women's groups through Focus Group Discussion (FGDs) held during CASP+ design Mission (April, 2021). Key notes from the consultations held in Hamadoni, Sh.Sholin, Sharitus and Maschoh districts are available in the stakeholder consultation report.

19. According to the Tajikistan Country Gender Assessment (ADB, 2016) the main indicators of climate change in Tajikistan are rising temperatures, uneven rainfall, and melting glaciers; these changes, in turn, can cause natural disasters such as flooding and mudslides or droughts. Rural populations are especially vulnerable to climate change given their dependence on small-scale farming and natural resources. According to the ADB survey conducted to prepare the gender assessment, women who participated in Focus Group Discussions (FGDs), particularly women farmers, described unseasonably warm weather followed by heavy rains that ruined crops (ADB, 2016). Similar findings were confirmed by women interviewed through Focus Group Discussions (FGDs) by the project design mission[14].

20. Households headed by females are among the poorest and "often have very limited capacity to cope with or recover from weather-related losses"; further, they will also be disproportionately impacted by staple goods scarcity. In addition to increased physical burdens associated with collecting scarce resources, women and children are at risk for illness from substandard drinking water and unclean fuel (Oxfam, 2011)[15].

21. Women's lower educational levels, lack of technical knowledge, and limited participation in decision making also impact their climate change adaptability. According to Oxfam, households headed by females that operate small farms exhibit fewer sustainable land management processes than households headed by males, which may be due to lack of technical knowledge or insufficient finances. Further more, in the same report, it is mentioned that water-related changes have noticeable and immediate effects on women's options for collecting water. When water sources become scarce, those farmers who are situated furthest from irrigation systems or who do not have the ability to negotiate their water rights, or who are unable to protect their water access, will lose out first (Oxfam, 2011).

22. **Youth:** Tajikistan's national Youth Policy (2004) defines youth as persons aged 14-30. Youth are largely unemployed, underemployed, and underpaid, and they rank among the working poor. The level of youth unemployment (working age 15-24) is 20.9% (WB, 2020)[16]. In 2017, the World Bank published a Job Diagnostic Study in Tajikistan. According to this study, only 43 percent of Tajikistan's total working age population are in the labor force. The majority of those working are in low quality jobs in the informal sector. Moreover, too many jobs in Tajikistan are seasonal or temporary, and their share has increased over time. Women and youth are the least represented in the labor force. Inactive youth, i.e. those who are neither employed nor in school, represent 40 percent of the total youth population, which is high by international standards. While youth are more likely than adults to work in private sector wage jobs, almost one third of employed young people are in unpaid (informal) jobs, compared to 15 percent of

[14] Details are reported in the stakeholder consultation report on separate FGDs with women (CASP+ Design Mission, April 2021).
[15] Climate Change: Beyond Coping. Women smallholder farmers in Tajikistan, Oxfam, 2011
[16] World Bank, 2020: https://data.worldbank.org/indicator/SL.UEM.1524.ZS?locations=TJ

adults[17]. employed nor in school (NEET), represent 40 percent of the total, which is high by international standards. Between 2003 and 2013, NEET rates among youth increased from 37 to 41 percent, despite relatively favourable economic conditions. Moreover, the NEET rate for female youth is considerably higher than for male youth. While youth are more likely to work in private sector wage jobs than adults, almost a third of employed young people are in unpaid (informal) jobs compared to 15 percent of adults. Youth are also significantly less likely to be self-employed (5 percent compared to 11 percent among adults)[18].

23. Due to the lack of work experience, youth may choose to exit the labor force after a few failed attempts. It is also possible that some of the unfavourable outlook on the labor market in Tajikistan results in young people leaving the domestic labor force in favor of international migration. There is an urgent need to address these high levels of youth labor market discouragement, partly because this is a wasted resource, but as the longer youth are in a state of inactivity, the harder it becomes to reactivate these workers (WB, 2017). Of the total number of migrant workers, 474,578 (85.7 percent) were rural dwellers, while only 79,290 (14.3 percent) were urban dwellers (ICRMW, 2017)[19]. This makes a typical migrant worker is a relatively young married man who has secondary education and lives in rural Tajikistan. Before migrating, this typical migrigant worker is either employed as an unskilled worker or unemployed. Besides the fact that the actual offer of jobs is not sufficient to meet demand, a World Bank study also implies that workers might turn down jobs with a view to the fact that foreign payments are significantly higher than local jobs. Migrant works support households that are on average 7.5 persons in size, and in most cases, the migrants have children (WB, 2017).

24. Although there is no strict consensus on the abosulute number of abour migrants, estimates suggest their number amounts up to 1 million. The vast majroty, up to some 98 percent further to border statistics, migrate to the Russian federation whereas the remaining 2% migrates to other countries in the subregion. Very few migrate to countries outside the subregion. A study executed as par of Tajikistan's submission to the International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families indicates that 28% of migrants has been away for up to 6 months, 27 percent has been away for up to 1 year a 47 percent was away for more than 1 year (ICRMW, 2017). The COVID-19 pandemic had a tremendeous impact on the migration and the Tajkik ministry of labour indicated that labor migration decreased by 76% (401,076 people) in comparison to 2019 figures. This was mainly attributed to COVID-19. In a special study on the social and economic effect of COVID-19 in Tajikistan, the World Bank indicates that more than 61 percent of the household reported a decline in remittances[20] (WB, 2020).

25. There are several micro-determinants that indicate the likelihood of Tajik youth being employed such as gender and educational attainment. Females are about 23 percent less likely to be employed than otherwise identical males and people who have completed secondary school are more than eight percentage points more likely to be employed. Post-secondary school attainment are more than 25 percentage points more likely to be employed than otherwise identical people who have not completed primary

[17] Tajikistan: Addressing Challenges to Create More and Better Jobs, WB 2017
available at https://www.worldbank.org/en/country/tajikistan/publication/tajikistan-addressing-challenges-to-create-more-and-better-jobs
[18] Tajikistan Jobs Diagnostic: Strategic Framework for Jobs (World Bank 2017)
Available at: https://openknowledge.worldbank.org/handle/10986/26029
[19] International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families (2017). Consideration of reports submitted by States parties under article 73 of the Convention – Tajikistan.
[20] World Bank, 2020 : Economic and social impacts of COVID-19 Updates from listening to Tajikistan Survey.

school. Problematic is that the fact that access to and completion of education is not equitable. Workers in richer households have higher educational attainment, and, since higher educational attainment leads to better employment outcomes, there is some evidence that richer households have an intergenerational advantage (WB, 2017).

26. Finally, in order to create jobs, escpecially for youth, the World Bank defined multiple entry points in relation to the agricultural sector. First, the World Bank recommends the government to better support value chain development. Primary producers could thereby receive better returns for their produce and more stable markets access when linked to processors downstream. Effectively this would improve the quality of jobs both for to wage earners and the self-employed. Second, rural SMEs should be better equipped to respond to emerging market needs through access to finance and access to business development services. Thirdly, the educational system should be refocused in order ot better respond to future market demands (WB, 2017).

27. The Tajik State Committee of Youth Affairs, Sports and Tourism is the central executive agency of the country in the sectors of youth, sports and tourism. It is responsible for the formulation of a consistent national policy and a legal frame in the areas before mentioned. The Committee coordinates and supports the activities of institutions, educational establishments, corporations and other organization operating in its area of responsibility. In order to do so, the Committee collaborates with a wide range of stakeholders such as central executive agencies, government authorities and public organization[21]. The latest national youth policy dates from 2006 and runs until 2020. However, ever since a national social development program for youth has been introduced in 2013.

28. The before mentioned Tajik State Committee of Youth Affairs, Sports and Tourism is the coordinator of the plan22. The overall goals of the programme is: "to create favourable conditions and opportunities for self-organization, self-realization and the upbringing and perfection of enlightenment of youth in the spirit national self-knowledge and patriotism, improvement social and economic situation, legal support and the formation of a healthy lifestyle for young people." (Dzhuraev K.K, 2012) In order to realize, these goals the following prority areas were formulated: (i) patriotic education of youth; (ii) development of social opportunities and assistance; (iii) economic independence of youth; (iv) development of youth health; (v) promoting the development of modern education and supporting the creativity of young people; (vi) development of scientific - methodological and information aspects of state youth policy; (vii) improving the labor skills of specialists and development of international relations. In order to implement these activities, different interventions and stakeholders have been identified. The plan is funded through a combination of state funds who contribyute roughly 1/3 to the plan as well as by attracting funds from international organizations who contribute roughly 2/3 to the plan (Dzhuraev K.K, 2012).

29. **Nutrition:** Tajikistan is on course to meet the global targets for under-five overweight and under-five stunting, but is off-course to meet the targets for all other indicators analysed with adequate data. Although it performs well against other developing countries, Tajikistan still experiences a malnutrition burden among its under-five population. According to the Global Nutrition Report (Tajikistan Nutrition profile,

[21] The Tajik State Committee of Youth Affairs, Sports and Tourism (2020).
[22] Dzhuraev K.K, 2012: Methodological and practical guide: national social programme youth development in Tajikistan.

2019)[23] based on latest 2017 data from the Demographic and Household Survey (DHS), the national prevalence of under-five overweight is 3.3%, which has decreased from 6.7% in 2012. The national prevalence of under-five stunting is 17.5%, which is less than the developing country average of 25%. Tajikistan's under-five wasting prevalence of 5.6% is also less than the developing country average of 8.9%. In Tajikistan, 35.8% of infants under 6 months are exclusively breastfed. Tajikistan's 2015 low birth weight prevalence of 5.6% has decreased slightly from 6.2% in 2000.

30. Tajikistan's adult population also face a malnutrition burden. 30.5% of women of reproductive age have anaemia, and 10.3% of adult men have diabetes, compared to 9.9% of women. Meanwhile, 16.7% of women and 11.6% of men are obese.

31. According to WFP's Tajikistan profile (2020), vitamin and mineral deficiencies are high in the country; more than 40 percent of women and children are affected by anaemia and more than 50 percent of both women and children have iodine deficiency. According to 2018's 'Fill the Nutrient Gap' analysis, an estimated 30 to 56 percent of households, depending on region, cannot afford a nutritious diet.[24]

32. **Persons with disabilities (PWD):** Persons with disabilities in Tajikistan, like in any other developing country, face a multitude of barriers to securing a decent livelihood. Difficulty in identification of suitable jobs, accessibility, negative attitudes and lack of education and skills are among major factors that affect their livelihoods. With poverty levels still noteworthy, especially in rural areas, the exact number of PWD who live in poverty cannot be reliably determined for the lack of sufficient and accurate data. According to the Situational Analysis: State of Rehabilitation in Tajikistan (WHO, 2015)[25], empirical analysis suggests that most persons with disabilities in Tajikistan do not have opportunities for employment. Although it is assumed that unemployment rates among persons with disabilities are very high, no accurate data are available.

33. Similarly, there is no information about self-employment among persons with disabilities. It is widely recognized that employment and income generation are key factors for empowering and promoting the inclusion of people with disabilities in society. Women with disabilities often face greater challenges in finding employment than men because of negative attitudes towards disabled women, according to data reported by the ADB Gender Assessments (2016)[26].

2.2 Environment and climate context, trends and implications

Environmental assessment

34. ***Water*** **–** Tajikistan is one of the world's richest countries in terms of water. In Central Asia, the share of water resources of Tajikistan is more than 60%[27]. In addition to abundant river flows, water flows include groundwater, springs, lakes, glaciers and other water bodies. The main source of water of the Tajikistan's rivers are glaciers in the Pamir, Tien-Shan and Alay mountains. Glaciers form 4.8 percent of Tajikistan's

[23] Tajikistan Nutrition Profile, Global Nutrition Report, 2019,
available at: https://globalnutritionreport.org/media/profiles/3.0.3/pdfs/tajikistan.pdf
[24] WFP, Country Brief Tajikistan 2020,
available at: https://www.wfp.org/countries/tajikistan
[25] WHO, Situational Analysis: State of Rehabilitation in Tajikistan available at:
https://www.euro.who.int/__data/assets/pdf_file/0009/276480/State-Rehabilitation-Tajikistan-Report-en.pdf
[26] ADB, Country Gender Assessment, 2017 (pp 30).
[27] Government of the Republic of Tajikistan Agency for Hydrometeorology under the Committee on Environmental Protection under the Government of the Republic of Tajikistan. 2018. The First Biennial Report of the Republic of Tajikistan on Inventory of Greenhouse Gases Under the UN Framework Convention on Climate Change.

territory and provide an important water storage capacity, containing 550 km^3 of fresh water[28].

35. Even though it was concluded that there would not be a significant reduction of water resources in the next two decades[29], glacial melt may reduce water flow into the country's rivers over the long term. Indeed, the decrease in snow occurrence in several areas of the country could have a direct impact on water flow in rivers in spring as less water is stored during winter. Furthermore, water is released faster when snow melts because of high temperature, which can increase the risk of floods, erosion and droughts.

36. The total renewable annual flow forming in the territory of Tajikistan is about 63.46-km3[30] and renewable ground water resources in Tajikistan are estimated to be about 18.7 km^3/year. On average, surface water resources available for Tajikistan are 12.98-km3 per year. Irrigated agriculture is the main water consumer, accounting for around 80 per cent of total water use[31] and the total volume of water abstracted from all sources for irrigation is on average 8.0–10.0 km3 per year. The irrigation system and network in the country is inadequate, and the value of output produced per cubic meter of irrigation water remains very low, causing stressed water resources for many rural communities[32].

37. Together, the unsustainable use of land and water lead to water deficits and the deterioration of water and soils quality[33]. Thus, the main issue relating to water resources in Tajikistan is inadequate water management and its use. A very small area is irrigated through drip irrigation[34]. While the available water resources from the main rivers are almost fully utilized, in the agriculture sector, there is great potential for water saving and effective water consumption. Capitalizing on this potential is significant, as it is estimated that by 2030, water demand will increase by up to 30 percent. Thus, the deficit of water resources for irrigation is likely to increase in view of the predicted reduction in the volume of glaciers, precipitation in the form of snow, and of flow of the main rivers in the summer-autumn period[35].

38. In order to respond to these challenges, CASP+ will put in place networks of water harvesting units and storage at watershed level that could be accompanied with drip irrigation systems. Furthermore, the programme will promote sustainable agriculture and agro-ecology practices to reduce loss and deterioration of water and increase its efficient use.

39. ***Forest and biodiversity*** – The area of protected land is 2,685 thousand ha. The main share of this land belongs to the Tajik National Park[36]. State owned forest reserves make up 1,342 thousand ha, including 412 thousand ha of forest cover. The forest cover in Tajikistan is the lowest of the Central Asian states and a large part of the forest area is given for long-term use as pasture[37]. It is thought that in the 19th century,

[28] State Administration for Hydrometeorology Committee on Environmental Protection under the Government of the Republic of Tajikistan. 2014. The Third National Communication of the Republic of Tajikistan under the UN Framework Convention on Climate Change.
[29] *Ibid.*
[30] 2017 FAO AQUASTAT data
[31] Government of the Republic of Tajikistan. 2015. Water Sector Reforms Programme of the Republic of Tajikistan for 2016-2025.
[32] The World Bank. Feature Story. March 13, 2020. In Tajikistan, Better Water Resource Management is Critical to Food Security and Livelihoods.
[33] Groll, M., Opp, C., Kulmatov, R. et al. Environ Earth Sci (2015) 73: 743. doi:10.1007/s12665-013-2988-5
[34] Around 100ha in 2014 - Tajikistan's Third National Communication on Climate Change to the UNFCCC, 2014.
[35] *Ibid.*
[36] The national parks and reserves in Tajikistan are presented in GCG Annex 2, Chapter 1.
[37] The State Forest Fund accounts for 1.8 million ha, of which 0.4 million ha are forests and 1.4 million ha are non-forested areas, such as pastures

forests covered about 25 percent of Tajikistan's total land area. Over the course of time, due to factors such as increased population, fuelwood demand, animal grazing, fires, increase of forest pests and changes in land use[38], the total forest area is now just under 3 percent. Reforestation is 50% what it was compared to 1990 and the stand density has continuously decreased since this period. With an average of 0.5-0.6 in 1990, the average share of stocking rates was 50%; by 2007-2010, it had dropped to 30%[39].

40. Over a quarter of forests are protected, for biodiversity conservation. Tajikistan's forests contribute to ecosystem functions and are home to many rare and valuable fruit trees and shrubs, as well wild animals.

41. Forests also play a key role in the lives of Tajikistan's rural population; firewood, fodder, medicinal plants, fruit and nuts are sold locally, providing an important source of income. The main tree species used in plantation forests include pistachios, almond, poplar, and fir tree (spruce). Considerable attention is paid to the creation of nut crop plantations (pistachio, nut, almond, and sea buckthorn). To meet the demand for wood, planting of quick growing species such as poplar and willow has increased.

42. Non-wood forest products, especially fruit trees but also nuts, berries and game, are also important for the financial survival of state-owned forest enterprises (or "leskhoz")[40]. Despite Tajikistan's rich variety of plant life (around 5,000 species), the areas covered by these different types of vegetation, their harvesting seasons, productivity and potential economic benefits to the country have not been fully studied[41].

43. CASP+ will promote reforestation in areas with high potential for reforestation as presented in the Feasibility study Chapter 1. The programme will work through leskhoz and Joint Forest Management (JFM)[42] to upscale the approach set out by GIZ to demonstrate the applicability and impact of JMF in different forest ecosystems[43]. The programme will also support the use and protection of neglected and underutilized species (NUS) (e.g. non-timber forest products) and work with experienced partners in the field (e.g. Slow Food, already present in DRS and GBAO). There is great potential to create networks of communities or "convivium" and protect the biodiversity while creating business opportunities.

44. CASP+ is piloting the new biodiversity assessment tool developed by FAO called B-INTACT. A preliminary analysis based on a number of assumptions has been undertaken on four watersheds in Rudaki, Mastchoh, Sh. Sholin and Dangara to assess the impact the project interventions will have on biodiversity. As information on specific land use changes resulting from project interventions become available, the analysis will be updated and refined. During project implementation, B-INTACT can be used as a participatory decision-making tool to identify areas where the positive impact on biodiversity would be greatest. Overall, the preliminary analysis has shown that the impact on biodiversity in the four watersheds identified is positive with the level of biodiversity intactness increasing in all case studies (see **Chapter 1 of Feasibility study**).

[38] UNECE and FAO. 2019. Overview of the State of Forests and Forest Management in Tajikistan.
[39] Tajikistan's Third National Communication on Climate Change to the UNFCCC, 2014.
[40] Tajikistan's Third National Communication on Climate Change to the UNFCCC, 2014.
[41] Akhmadov, K. 2008. Geneva Timber and Forest Discussion Paper 46. Forest and forest products country profile: Tajikistan. UNECE and FAO.
[42] JFM essentially involves leasing forest land to local people over the long term. The tenants rehabilitate and use their forest plots according to management plans. Local forest enterprises advise them on forest rehabilitation.
[43] GIZ. Adaptation to climate change through sustainable forest management in Tajikistan (2013-2018): https://www.giz.de/en/worldwide/29916.html

45. ***Land degradation and soils–*** In Tajikistan, land degradation is a serious issue, caused by both natural and anthropogenic factors. Erosion is higher in grasslands than in other land cover types[44] mainly because of the lack of vegetation. Indeed, the areas covered by forest is the land cover type with less erosion in Tajikistan. Grassland accounts for a larger share of land cover than cropland in Tajikistan. Most of Tajikistan's natural pastures are located in high-mountain areas, at altitudes ranging from 1,700-2,000 to 3,500 m above sea level. Of the 3.8 million hectares of pastureland in the country, the largest pasturelands are found in the Khatlon Region (31 percent) and DRS (28 percent)[45].

46. Livestock production is a major source of livelihood for Tajik farmers. Since 2000, the number of livestock units has been steadily increasing, driven by the country´s population growth and remittance flows. High livestock units have resulted in the overgrazing of pasturelands, which further degrades the quality of the soil, and contributes to erosion. According to estimates, land degradation from erosion caused by overgrazing impacts around 85 percent of the total pasture land[46]; 89 percent of summer pastures and 97 percent of winter pastures are exposed to moderate and high erosion[47].

47. Agroforestry areas of perennial vegetation are usually managed with little soil disturbance; thus, soil aggregate stability and soil conservation increase in agroforestry areas. There is greater accumulation of organic matter, nutrients in biomass, and root density reduce runoff from cropland when agroforestry is integrated into fields, as compared to soil with only cropland or grassland[48]. Studies show distinctly lower soil organic carbon content levels where annual crop cultivation was dominant in the 1990s and where cultivation has now been abandoned, compared to agroforestry areas. On the other hand, there are strong indications that afforestation and fruit orchards established in the 1980s have been successful in conserving soil resources[49].

48. CASP+ will promote sustainable pasture management through the already existing Pasture Users Unions successfully established under previous IFAD programmes (e.g. LPDP 1&2), and will create new ones. The programme will also promote pasture rehabilitation in degraded areas by establishing silvopastoral systems with local plants and fodder trees. The promotion of manure management will similarly support soil rehabilitation and improvement in pasture and crop lands.

49. **b. Climate trends and impacts**

50. According to the ND-GAIN Index which captures a country's vulnerability to climate change and other global challenges, and its readiness to improve resilience, Tajikistan is the most vulnerable country in the Central Asia[50]. Detailed analises are presented in the **Chapter 1 of the Fasibility Study** of the SECAP. Temperatures are increasing all

[44] GCF Annex 2, Chapter 1: Climate change impacts, climate vulnerability analysis, for geographic targeting and related recommendations by sector.
[45] Government of the Republic of Tajikistan Agency for Hydrometeorology under the Committee on Environmental Protection under the Government of the Republic of Tajikistan. 2018. The First Biennial Report of the Republic of Tajikistan on Inventory of Greenhouse Gases Under the UN Framework Convention on Climate Change.
[46] World Bank. Feature Story May 2018. "Sustainable Management of Natural Resources Helps Tajik Communities Adapt to Climate Change". https://www.worldbank.org/en/news/feature/2018/05/04/sustainable-management-of-natural-resources-helps-tajik-communities-adapt-to-climate-change
[47] Government of the Republic of Tajikistan Agency for Hydrometeorology under the Committee on Environmental Protection under the Government of the Republic of Tajikistan. 2018. The First Biennial Report of the Republic of Tajikistan on Inventory of Greenhouse Gases Under the UN Framework Convention on Climate Change.
[48] M. Paudel; E.J. Nelson; C.W. Downer; R. Hotchkiss, 2011. Comparing the capability of distributed and lumped hydrologic models for analyzing the effects of land use change. ournal of Hydroinformatics (2011) 13 (3): 461–473. https://doi.org/10.2166/hydro.2010.100
[49] Wolfgramm, Bettina & Seiler, Bruno & Kneubuehler, Mathias & Liniger, Hanspeter. (2007). Spatial assessment of erosion and its impact on soil fertility in the Tajik foothills. EARSeL eProceedings. 6. 10.5167/uzh-77957.
[50] ND-GAIN, 2018: https://gain.nd.edu/our-work/country-index/rankings/

over the country and there is a clear shift in precipitation patterns. The country is prone to frequent natural disasters including floods, mudflows, landslides, droughts and water scarcity; the degradation of pastures and forests from climate change is already visible[51]. Climate projections predict a worsening of the above-mentioned trends and events with significant impacts on these ecosystems and consequently on ecosystem services, people's livelihood and the economy[52,53,54].

51. With more than 70% of the population living in rural areas[55], employment in the agricultural sector is the highest in Central Asia with 58 percent of the total labour population engaged in agriculture in 2015[56]. Depending on land for their livelihood and food, climate has always been an important factor determining the incomes and lives of the rural population. Environmental shocks and stressors affect the rural poor who have limited resources and capacities to adapt.

52. As evident from the climatic and environmental analysis[57], the country's climate presents aridity, high temperatures and significant inter-annual variability of almost all climatic elements as predominant characteristics. During the 1901-2017 period, mean and minimum temperature rise was recorded at an average rate of 0.12 and 0.2ºC per decade and, for the period 1970-2017, the positive trend of mean temperatures has been even higher with an increase of 0.28 ºC per decade compared to 0.01ºC per decade for the period 1901-1969[58,59]. The positive trend is higher during winter months (e.g. Trend for December months for Fedchenko glacier's weather station)[60] with detected impacts on glacier and snow cover[61].

[51] GCF Annex 2, Chapter 1: Climate change impacts, climate vulnerability analysis, for geographic targeting and related recommendations by sector; & Appendix 5: Climate Patterns & Trends atlas of Tajikistan pp. 12-15
[52] Climate risks and food security in Tajikistan. A Review of Evidence and Priorities for Adaptation Strategies. April 2017. WFP.
[53] Tajikistan: Country situation assessment Working paper, 2015. CARECECO, PRISE.
[54] Tajikistan - Autonomous Adaptation to Climate Change: Economic Opportunities and Institutional Constraints for Farming Households. World Bank. 2014. Washington, DC.
[55] Data World Bank. 2019: https://data.worldbank.org/
[56] FAO. 2018. Policy analysis of nationally determined contributions (NDC) in Europe and Central Asia. Budapest, 84 pp.
[57] GCF Annex 2, Chapter 1: Climate change impacts, climate vulnerability analysis, for geographic targeting and related recommendations by sector
[58] Tajikistan's Third National Communication on Climate Change to the UNFCCC, 2014.
[59] GCG Annex 2, Chapter 1: Climate change impacts, climate vulnerability analysis, for geographic targeting and related recommendations by sector
[60] Ibid.
[61] Ibid.

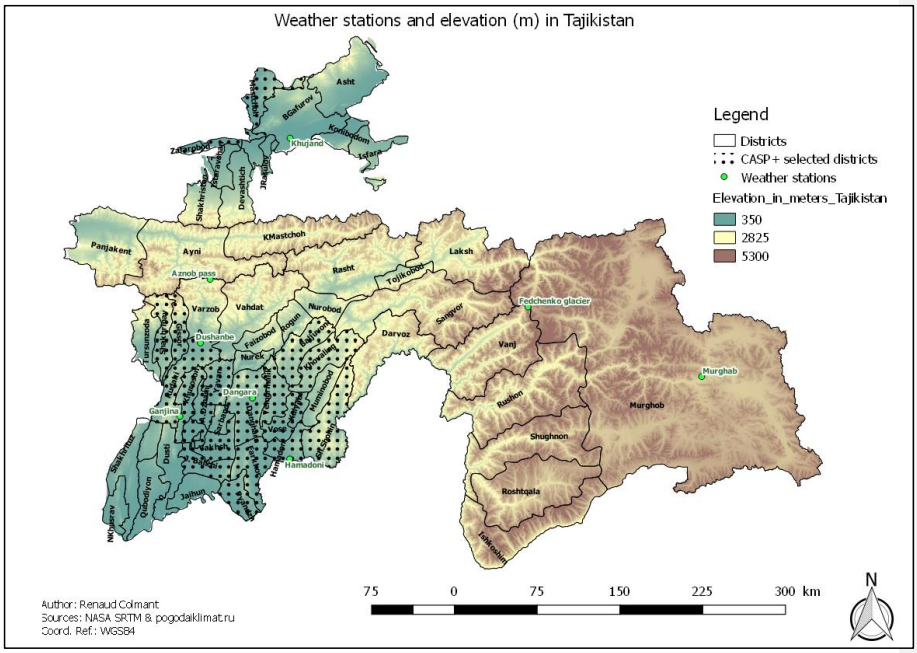

Figure 1: Location of the local weather stations used for the analysis of CASP+ design in Tajikistan

53. Significant decrease in the snow extent in more than 50% of the whole territory is observed for the period 2000-2020[62]. The main source of water of Tajikistan's rivers are glaciers[63] and, even though the discharge of rivers has not experienced a significant reduction so far and might even increase by 2050 in spring, it is expected that glacial melt over the long term will reduce water flow in the country's rivers particularly in summer and autumn by 20-25%[64]. The increase at medium term in spring may contribute to more erosion, floods and mudflows. Over the last twenty years, natural disasters have resulted in more than 2,000 deaths and an economic damage exceeding US$ 160 million in Tajikistan. The mudflows and floods in 1998, 1999, 2005 and 2010 were the most devastating[65] and strengthening soil and forest protection measures should be a high priority.

54. At national level, annual precipitation (rain, sleet, and snow) rose significantly by 15-20% during the 1901-2018 period. The analysis of the local weather station corroborates these findings with a net decrease of precipitation during spring and most of summer.[66] The increase in precipitation is concentrated during the February-May season mostly in the Western part of Tajikistan, with a positive trend of snow occurrence in high mountains where temperature permits, while the June-October season is experiencing a significant decrease of 4 mm/decade[67]. These changes pose a

[62] *Ibid*.
[63] Tajikistan's Third National Communication on Climate Change to the UNFCCC, 2014.
[64] *Ibid.*
[65] Climate risks and food security in Tajikistan. A Review of Evidence and Priorities for Adaptation Strategies. April 2017. WFP.
[66] GCF Annex 2, Chapter 1: Climate change impacts, climate vulnerability analysis – Historical and current climate, Precipitation, local weather stations analysis
[67] The Centre and North West of the country have an average of 700-900 mm per year compare to the North of the Sughd Region, the East of Gorno-Badakhshan Autonomous Region and the South of the Khatlon Region which receive around 100-300 mm per year for the 1981-2018 period.

threat to the agricultural cropping calendar, and to rangeland productivity by changing livestock grazing habits and availability of productive pastures, which prevail in rural areas. There is a clear shift in precipitation patterns, which has a major impact on water availability between the end of the wet season in May and the beginning of it in November-December, which, in turn, increases the vulnerability (i.e. heavy rainfall events, extreme temperatures, droughts) of ecosystems and, therefore, of the population. The 2000/01 drought substantially impacted Tajikistan at an estimated 5 percent its GDP. More than 3mln people (or half of the countries' population at that time) were affected.

55. Droughts over the period have affected the large parts of the country. The Standardised Precipitation-Evapotranspiration Index (SPEI)[68] analysis at 18 months shows significant worsening in time for the period 1980-2019 at national level. Increase of droughts in time is observed in Northern Sughd, Eastern Khatlon, DRS and Western GBAO. The recurrence of such events since 1980 at national level is of 3 to 5 years and the SPEI presents negative values without interruption since 2013[69] attesting to a depletion of water reserves in deep soil layers. Heavy rainfall events (>10mm/day) are becoming more intense at the end of summer, beginning of falls in Ganjina, Aznob and Dushanbe , when soils are drier and with less vegetation cover (i.e. more prone to landslides and mudflows).

56. Climate change projections appear to follow mostly the same trends than historical data. Projections by the Coupled Model Intercomparison Project, Phase 5 (CMIP5) models included in the IPCC's Fifth Assessment Report (AR5) foresee that the mean annual temperatures will be warmer by approximately 2°C by 2050. Furthermore, cold days are projected to decrease by 35 days by 2050. The mean annual precipitation is projected to decrease by 5% at national level, but the country will experience differences geographically. The Western part of the country should experience an annual decrease in precipitation, reversing the historical positive trend noticed in winter since 1981, while the Eastern and Central part should instead witness an increase by 2050. Dry days are projected to increase by approximately 3 days leading to a shift of annual severe drought likelihood from once every 5 years in 2020 to once every 3 years in 2050[70]. Winters are projected to be drier and summers wetter, which could result in both increased floods and droughts.

57. As a result, by 2050 the yield of main crops[71] could decrease by between 5 and 35 percent and similarly, pastures on which livestock depend are also expected to experience a reduction in quality and quantity due to pressures from high temperatures and increased evaporation rates[72]. Temperature increases are also likely to modify ecosystems and provide opportunities for pests and diseases to multiply, affecting food production in a range of agricultural sectors[73,74]. Indeed, Tajikistan is exposed to climate-sensitive diseases such as, among others, the potato leafroll virus spread by

[68] SPEI is a multiscale drought index based on climatic data.(precipitation, evapotranspiration) allowing the index to account for the effect of temperature on drought development through a basic water balance calculation. SPEI has an intensity scale in which both positive and negative values (-5,5) are calculated, identifying wet and dry events. It can be calculated for time steps of as little as 1 month up to 48 months or more, with longer period deeper layer of soil can be analysed. Source: Copernicus Climate Change Service ERA5 reanalysis.
[69] GCF Annex 2, Chapter 1
[70] Climate Change Knowledge Portal, 2020: https://climateknowledgeportal.worldbank.org/
[71] Groundnuts, Maize, Managed grass. Rapeseed, Rice, Sorghum, Sunflower, Wheat, Potato
[72] GCF Annex 2, Chapter 1: CARD analysis
[73] IPCC, AR5, 2014.
[74] L. Lipper, N. McCarthy, D. Zilberman, S. Asfaw, G. Branca. 2018. Climate Smart Agriculture, Natural Resource Management and Policy 52, FAO, DOI 10.1007/978-3-319-61194-5_10

aphids and the late blight in potato production[75] and the Peste des Petits Ruminants, the Foot and Mouth Disease and the Helminthiasis in the livestock sector[76].

58. The climate vulnerability index analysis[77] shows that higher vulnerability to climate is seen in the Eastern and Centre Khatlon and in the South East of Sughd. The main reason for these particular locations is not only associated with adverse impacts of climate change but also with high sensitivity of the environment, low quality of life and insufficient income of the population. These findings complement the observations and assessments of previous studies[78,79]. In 2010, 11% of the total population was living on degraded land[80]. Mountainous regions are especially vulnerable to climate change, and thus require optimal land and water management[81,82.] Systematic reforestation and pasture management in accordance with the adopted State programmes is a considerable contribution of the country to the reduction of negative impacts on the climate system[83].

c. Climate change mitigation

59. Tajikistan's total GHG emissions represent 0.02 percent of global GHG emissions. 52.0% of Tajikistan's carbon equivalent emissions originate from agriculture, mostly from livestock related activities.[84] Working on both GHG emissions and absorption by improving the current agricultural production system (with agroecology) and enhancing the potential of absorption (better pasture management, reforestation) will lead to a CO2 equivalent emissions reduction at national level while improving adaptation. Better management of on-farm biomass is a part of sustainable land management[85] and sustainable agriculture[86]. In addition, with feasible improvements in feed quality, animal health and husbandry, emissions can potentially be reduced[87]

60. The ex-ante analysis shows a net cumulative incremental carbon balance of -2.95 million tones CO2eq over the 20 years of the project compared to a situation without project. Cattle are responsible for 72% of this balance while sheep account for 22% and goats 6%2.3 Target group profiles

Livelihoods and climate change impact

61. With more than 70% of the population living in rural areas[88], employment in the agricultural sector is the highest in the non-EU ECA countries with 58 percent of the

[75] R. Hijmans. The effect of climate change on global potato production, July 2003. American Journal of Potato Research 80(4) Follow journal. DOI: 10.1007/BF02855363
[76] Abdela, N.; Jilo, K. Impact of climate change on livestock health: A review. Global Vet. 2016, 16, 419–424
[77] GCG Annex 2, Chapter 1
[78] United Nations Development Program (UNDP). 2012. Capacity for climate resiliency in Tajikistan: Stocktaking and Institutional Assessment.
[79] Climate risks and food security in Tajikistan. A Review of Evidence and Priorities for Adaptation Strategies. April 2017. WFP.
[80] UNDP. 2013. Human development report 2013. The rise of the South: human progress in a diverse world.
[81] Greˆt-Regamey A, Brunner SH, Kienast F. 2012. Mountain ecosystem services: Who cares? Mountain Research and Development 32(1):23–34.
[82] Ariza C, Maselli D, Kohler T. 2013. Mountains: Our Life, Our Future. Progress and Perspectives on Sustainable Mountain Development from Rio 1992 to Rio 2012 and Beyond. Bern, Switzerland: SDC [Swiss Agency for Development and Cooperation], CDE [Centre for Development and Environment]
[83] Updated Nationally Determined Contribution (INDC) towards the achievement of the global goal of the UN Framework Convention on Climate Change (UNFCCC) by the Republic of Tajikistan, 2021.
[84] UNFCCC GHG Inventories cited in FAO. 2018. Policy analysis of nationally determined contributions (NDC) in Europe and Central Asia. Budapest, 84 pp. Share of Agriculture Emission (AR5) – 2017 data, Source: FAOstat, consulted in Dec 2020.
[85] Liniger H, Mekdaschi Studer R, Hauert C, Gurtner M. 2011. Sustainable Land Management in Practice—Guidelines and Best Practices for Sub-Saharan Africa. Rome, Italy: TerrAfrica, WOCAT [World Overview of Conservation Approaches and Technologies] and Food and Agriculture Organization of United Nations [FAO].
[86] Duncam AJ, Ge´rard B, Rufina MC, Teufel N, van Rooyen A, van Wijk MT. 2012. Conservation agriculture in mixed crop-livestock systems: Scoping crop residue trade-offs in Sub-Saharan Africa and South Asia. Field Crops Research 132:175–184.
[87] Gerber, P.J., Steinfeld, H., Henderson, B., Mottet, A., Opio, C., Dijkman, J., Falcucci, A. & Tempio, G. 2013. Tackling climate change through livestock – A global assessment of emissions and mitigation opportunities, FAO, Rome.
[88] Data World Bank. 2019: https://data.worldbank.org/

total labour population engaged in agriculture in 2015[89]. Depending on land for their livelihood and food, climate has always been an important factor determining the incomes and lives of the rural population. Environmental shocks and stressors affect the rural poor who have limited resources and capacities to adapt.

62. In 2010, 11% of the total population was living on degraded land[90]. Mountainous regions are especially vulnerable to climate change, and thus require optimal land and water management[91,92]. Systematic reforestation in accordance with the adopted State programmes is a considerable contribution of the country to the reduction of negative impacts on the climate system[93]. Adaptation in the agriculture and food security requires a food systems approach and should include livelihood diversification to reduce sensitivity of rural incomes.

63. The main **target group** consists of poor communities and those households whose livelihood is severely affected by climate change. These are represented by men and women engaged in traditional livelihood systems based on: (i) pastoralism (livestock rearing: cattle, sheep and goats) or agro-pastoralism/mixed farming; and (ii) combining small to medium scale livestock production (including sheep and goats, milking cows and poultry) with agriculture activities (crop/horticultural and fruits). The selection of the target groups and activities proposed is in line with Country Strategic Note (2016) and its strategic objective.[94]

64. In so doing the programme will provide programme services for the actually or potentially economically active among the following target population: (i) subsistence and semi-subsistence men and women farmers with upside potential, in particular those willing to move to more commercial farming; (ii) extremely poor men and women (focus on FHHs) living below the poverty line, who are either landless or are producing a minimum subsistence level on household plots; (iii) the rural underemployed and self-employed youth (including returning migrants).

65. Within these groups, emphasis will be placed on reaching **poor subsistence and semi-subsistence farmers with upside potential:** Smallholder farmers in this category have access to land beyond household plots through leasing arrangements (about 1 ha) and they usually own on average 5 heads of cattle and 15-20 small ruminants, that graze on community pasture land. They have (varying degrees of) access to natural resources, including rangelands areas and water resources but lack mechanisation, irrigation, seeds and connectivity to networks and markets, including market information, technical capacity and scale. Family *dekhan* farms with similar size of productive resources (land and livestock) belong to this category. They have the potential to provide consistent increased quantity and quality of their output to meet compliance standards and market requirements (local/regional). In terms of poverty [95] this groups consist of poor and transitory poor (above the poverty line but highly

[89] FAO. 2018. Policy analysis of nationally determined contributions (NDC) in Europe and Central Asia. Budapest, 84 pp.
[90] UNDP. 2013. Human development report 2013. The rise of the South: human progress in a diverse world.
[91] Gre˚t-Regamey A, Brunner SH, Kienast F. 2012. Mountain ecosystem services: Who cares? Mountain Research and Development 32(1):23–34.
[92] Ariza C, Maselli D, Kohler T. 2013. Mountains: Our Life, Our Future. Progress and Perspectives on Sustainable Mountain Development from Rio 1992 to Rio 2012 and Beyond. Bern, Switzerland: SDC [Swiss Agency for Development and Cooperation], CDE [Centre for Development and Environment]
[93] Updated Nationally Determined Contribution (NDC) towards the achievement of the global goal of the UN Framework Convention on Climate Change (UNFCCC) by the Republic of Tajikistan, 2021.
[94] Document available at: https://www.ifad.org/en/-/document/country-strategy-no-3
[95] As of 2018, the poverty rate is **27.4** (WB, 2020) percent, meaning that 27.4 percent of the population lives below the national poverty line. Additionally, 4.8 percent of people live on less than $1.90 a day, according to the World Bank. https://databank.worldbank.org/data/download/poverty/33EF03BB-9722-4AE2-ABC7-AA2972D68AFE/Global_POVEQ_TJK.pdf The extreme poverty rate (measured by food poverty line at 2,250 Kcal per person a day) dropped from 20%in 2012 to 16.8%in 2014 (UNDP,2017). http://untj.org/jambi-project/images/Extreme-Poverty_ENG.pdf

vulnerable and at risk to slide back due to the climatic shocks/other negative variables and seasonal trends)[96].

66. **Extremely poor households producing on a subsistence level**: These poorer households' make their income and living from very small scale livestock coupled with agriculture and other incomes derived from off-farm activities (poultry, dairy performed by women) and also combined with irregular remittances from occasional labour (men and younger). These include poor men and women farming small areas, usually "kitchen gardens" of about 0.2 ha and they have no access to land beyond household plots. They usually grow some vegetables for domestic consumption and keep some livestock, (1-2 cattle, 5-10 small ruminants and 10-20 poultry).

67. Target groups will also include the **most vulnerable socio-economic categories**: poor rural women, especially those who are household heads, the elders, poor rural youth (including returning migrants) elders and Persons with Disabilities (PWD). These categories live with none or very limited assets, they are unemployed and looking for alternative livelihood opportunities to make a living based on on-farm activities (i.e. poultry, milk production, dairy processing) or off-farm activities (occasional labour, enterprise development, service provision along selected value chains).

68. **Beneficiaries Targeting and Social Inclusion:** identification and selection of beneficires will be conducted in a series of steps as follows: (i) mobilisation campaign to present the programme; (ii) wealth ranking exercise conducted by the service provider (SP) and specifically by Community Facilitatirs (CF) including support from local CBOs, given their knowledge of poorest and disadvantaged households, especially recipients of social aid and also PWD;(iii) involvements of the local community leaders/committee to validate the proposed beneficiaries and avoid risk of elite capture; (iv) verification by programme staff through physical visits to the households and checking the community validation process (minutes of meetings and other documentation provided to ensure process is transparent and records are duly kept as part of M&E requirements including the way potential complaints are addressed during the process). The Participatory Wealth Ranking exercise will be conducted at community level to identify the poorest and the better off, following the example of the LPDP where such exercise was conducted by Aga Khan Foundation (AKF)[97] and details for implementation are reported in the Programme Implementation Manual (PIM) in Annex 21 of the GCF proposal.

69. **Targeting methods:** The programme will apply a combination of self-targeting and direct targeting methods. CASP+ promote services in line with needs of all target groups. Some activities will be of interest for the community as a whole: i.e. Climate Sensitive Community Action Plan (CsCAPs) for productive and social infrastructures/adaptation and mitigation activities and therefore all members will be mobilised through Village Organisations (VOs), PUUs, WUAs and Women Groups (WG). Direct targeted activities will be designed for specific groups, especially the poorest and vulnerable ones. Poor and poorest households will be identified and selected through the wealth ranking exercise and key criteria related to poverty and vulnerability set for their participation in Common Interests Groups (CIGs) and access to grant financing.

[96] According to WFP, the seasonality of poverty is clear in both rural and urban locations, yet more pronounced in the countryside where 75 percent of the population heavily depends on agriculture for an income. The proportion of people below the poverty line sharply increases during the first and second quarter of the calendar year – the lean season – when few agricultural activities are taking place, incomes tend to be lower and households become more market-reliant on food. Poverty rates drop during the third and fourth quarters when harvests are gathered and there is more income and food for those who produce and sell agricultural products (WFP vulnerability and resilience Atlas, 2019).
https://unwfp.maps.arcgis.com/apps/Cascade/index.html?appid=1e262af203064241b087c64a7a399d35

[97] Consultation with AKF representative during the CN design mission on the validity of the proposed methodology and lesson learned.

Pro-poor criteria for access to grants (individuals and groups) have been developed. Additional details can be found in **Appendix 1**.

3. Institutional analysis

70. The Insitutional analysis is presented in the table in Appendix 2: Institutional analysis and Relevant Environmental, Health and Safety Laws in Tajikistan.

4. Environmental and social category

71. The programme is considered to be **Category B**. Overall, the programme is not expected to have any significant adverse environmental or social implications. Environmental risks associated with activities such as construction of agricultural infrastructure or rehabilitation of rural roads will follow the environmental laws of Tajikistan and IFAD environmental and social policy. Tajikistan has a well-developed environmental legal and regulatory framework. Current environmental legislation in Tajikistan includes statutory acts and laws on the following topics: (i) protection of the environment; (ii) ecological audit and monitoring; (iii) protection of flora and fauna; (iv) environmental information and education; (v) soil, water and air quality; (vi) biological safety; (vii) human health and safety; and (viii) waste and chemicals management. These laws, along with the regulations approved by the Government of Tajikistan (GoT), create a favorable legal framework for environmental protection and for the use and protection of the country's natural resources. The programme will have to comply with the procedures for environmental impact, under the Law on Environmental Impact Assessment (2017) detailed in **Appendix 2 of the SECAP** and on IFAD and GCF's environmental and social policy.

72. Furthermore, the programme aims at increasing natural resource management and reduce overexploitation of land, pasture and resources. The proposed programme will enhance social cohesion due to the strengthening of the value chains and will contribute to environmental conservation and sustainability because of its emphasis on the rehabilitation of degraded land, reforestation, the introduction of new management and maintenance practices and technologies, and the reduction of anthropic pressure on grazing lands and pastures. The proposed programme will strictly follow the existing environmental laws and regulations applicable in the country and represents a NRM oriented approach to using natural capital available in Tajikistan. The programme is designed to enhance sustainable and resilient business opportunities of vulnerable rural households through climate-smart natural resource management, sustainable agriculture and agroecology, promoting the territory and its environmental integrity as main driver of local economy.

5. Climate risk category

73. Climate change and variable historical trends (from both local weather stations and aggregated remote sensing data) and future scenarios for Tajikistan have been analysed in detail during the design presented in **Appendices 4 and 5 of the SECAP**. The programme's climate risk classification is **High**. Based on assessments undertaken during preparation of the Concept Note, the programme is expected to be highly sensitive to climate risks, mainly due to the exposure of Tajikistan's agricultural sector to projected rising temperatures and changes in rainfall and glacial melt patterns that are likely to compound existing food security, energy security and poverty challenges. Main climate change impacts have been detected on natural resources (forest, pasture, water bodies, others) as well as on rural infrastructures such as roads and water points.

The programme will seek to mitigate this by improving the governance at both government and community level, and improving land management practices in the communities. The programme will aim at reducing the vulnerability of the rural poor to those risks and programme funds are allocated to ensure climate adaptation and resilience of both infrastructures and people's livelihood. Furthermore, a Green Climate Fund proposal is developed in parallel and may reinforce programme adaptation, as well as mitigation, activities.

6. Recommendations for programme design and implementation

74. The SECAP team supported actively the design team during the whole concept note and design process. Recommendations at CN were integrated directly within CASP+ activities and are reflected in the targeting approaches adopted and presented in the Appendices and in the PIM. This section and the recommendations sections in Appendix 1 (Social Inclusion) and chapter 1 of the Feasibility study (Environment and Climate) give a clear idea of the integration of the Social, Environmental and Climate Assessment Procedures within CASP+.

75. Recent major international reports[98] have highlighted the alarming impact of food production systems on climate change, land and biodiversity. The COVID-19 pandemic provides another illustration of the need for more sustainable food systems that work with, and not against nature, while ensuring food security and decent livelihoods for a rapidly growing population.

76. CASP+ is a response to pasture and forest degradation caused by climate change and unsustainable anthropogenic activities (mainly livestock). The programme's goal is to increase resilience and enhance livelihoods of the most vulnerable people, communities, and regions. The programme aims at **reducing emissions** from land use, deforestation, forest degradation, and through sustainable management of forests and conservation and enhancement of forest carbon stocks.

77. Livestock production is responsible for substantial contributions to greenhouse gas emissions.[99] While Tajikistan does not contribute any significant amounts to GHGs, it can further **reduce emissions and embark on a more environmentally sustainable pathway by reducing the number of livestock and investing in more productive and healthier animals that generate lower emissions per weight of product**.[100]

78. Through integrated planning and forest and pasture investments, CASP+ will intervene in vulnerable areas prone to climate-induced hazards such as river floods, heavy rainfall events, flash floods, mudslides, heat stress in summer, and droughts following the geographic targeting approach developed under the SECAP and presented in Chapter 1 of the Feasibility study in Annex 2. The villages will be selected in the most vulnerable water sub-catchments basins, based on their vulnerability to climate change and their limited adaptive capacity. The programme will attempt to tackle inappropriate forest-rangeland management practices causing land degradation that is further exacerbated by climate change.

79. Increasing pressure of the livestock on the ecosystem, over-grazing of pastures and forests and pollution of waters are issues that should be tackled by the programme at

[98] Larbodière, L., Davies, J., Schmidt, R., Magero, C., Vidal, Arroyo Schnell, A., Bucher, P., Maginnis, S., Cox, N., Hasinger, O., Abhilash, P.C., Conner, N., Westerberg, V., Costa, L. (2020). Common ground: restoring land health for sustainable agriculture. Gland, Switzerland: IUCN.
[99] http://www.fao.org/3/a-i3437e.pdf
[100] https://www.climatexchange.org.uk/media/2031/livestock_health_and_ghg.pdf

landscape scale. Landscape management practices have a direct impact on agriculture and landscape productivity and on the level of provision of ecosystem services. CASP+ has two main components presented below:

80. **Comp 1. Strengthening public sector capacity for transformative climate-resilient management of natural resources**

81. **CASP+ will engage in institutional support** in strengthening institutional and local capacity to plan, monitor and evaluate natural resources management under increasing climate change related stresses. The programme will aim at strengthening institutional and regulatory systems (remote sensing, surveillance) on climate-adaptive planning and NR monitoring. . In addition, the project will pilot test an **innovative approach to pasture monitoring using hives** on a pilot area of 3,500 ha. CASP+ will strengthen the **capacities of relevant government, local institutions and research agencies/universities** for evidence-based joint climate-adaptive natural resources planning, management and monitoring (e.g. of pasture, forest, agricultural land, livestock, water/river basins). Under the component 1, the programme will also propose **relevant evidence-based policy and regional framework improvements** (e.g. integrated NRM, land tenure, conflict resolution and registration, etc.). Furthermore, the programme will enable agribusiness environment by facilitating policy dialogues of multi-party (public, private, civil society) for improved economic opportunities (including PPP).

82. **Comp 2. Community climate-sensitive investments in climate change vulnerable rural areas**

83. The programme will aim at strengthening rural communities' investment capacity (Technical Assistance (TA), and investments) in climate adaptive and socio-economically productive activities, with a gradual shift towards lower GHG emissions (through agroecology, improved livestock management practices, etc.), and downstream linkages in the value chains/end markets. Through these activities, the component should increase the adaptive capacity in rural areas (including reduced exposure to climate risks).

84. The programme will support the creation, execution, monitoring and evaluation of Climate-sensitive Community Action Plans (CsCAP). The CsCAPs will include ***Adaptation Investments*** (improved pasture management, climate resilient infrastructures, agricultural machineries) and where applicable also ***Forestry Investments***, depending on the presence of leskhoz in the district and on opportunity for afforestation and reforestation.

85. The CsCAP will be designed and validated by relevant local institutions (Village Organizations, PUUs, WUAs) and public bodies (Forest Enterprises, Water management institutions, Local Administration, etc.) and then executed by these local institutions.

86. It will provide local communities with the access to skills, technologies and financing to multi-purpose use and development of rangelands, forests and watersheds (see **Annex 2 Chapter 1** for proposed investments by sector at early design stage and reflected in the components description).

87. **Comp 3. Strengthening livelihoods for enhanced resilience through market based approaches**,

88. **The programme will engage the individual households and producer organizations** in climate-adaptive agrifood economic activities.It will promote knowledge transfer and capacity development for agricultural productivity

enhancement (e.g. FFS). It will also improve livestock genetics and animal health through veterinary services. Furthermore, the programme will increase the access to market for selected value chains (TBD) via climate-resilient investment.

89. The Main Gender Activities recommended by the SECAP by component are presented in the **Appendix 1.**

90. ***Grievance Redress Mechanism*** **-** A grievance redress mechanism has been developed in line with the requirements of both IFAD as well as the GCF. The GRM reflects a three tiered approach for communities to submit their grievance, starting at the community level and ending at IFAD as an actor of last resort. CASP+ will ensure dissemination of the GRM to local communities prior to starting programme activities and maintain solid documentation for the received complaints during the operation of the programme and track the level of responsiveness (provision of feedback). The outline of this GRM, which is part of the GCF funding proposal, is included in **Appendix 4** of the SECAP. The appendix also includes an overview of non-community stakeholders (such as research institutions and international organizations that will be regularly consulted in order to assure that the project remains relevant throughout implementation).

91. **Preventing increased risks of SEAH:** For prevention of SEAH the project will apply mitigation measures which are also highlighted in the attached Environment and Social Management Plan Matrix. Staff will trains project-related personnel on the subject and sensitizes and mobilizes village heads/chiefs and relevant committees for community-driven support measures. The gender and social inclusion specialist will also be focal point for advice on SEAH related matters and monitor proper implementation of any activity/mitigation measure as required. The operational modalities will be aligned to IFAD policy on SEA (link to IFAD policy on SEA).

92. Consistent with IFAD's SEA policy, CASP+ will ensure support to the victims through existing services, programmes and their networks. In Tajikistan, these services are provided by the Committee on Women and Family Affairs (partner of the project). CASP+ EEs will ensure that all required information will be made available to properly redress the victims to the right service provider.

93. The Executing Entities will coordinate to ensure commonality of approaches and to ensure that the risks are handled in consistent manner conforming to AE's policies. Both AE and EEs will follow the GRM procedures.

94. The Project Grievance Redress Mechanism (GRM) will be strengthened so that SEAH and GBV related grievances are adequately managed in inclusive, survivor-centred and gender-responsive ways ensuring confidential reporting with safe and ethical documenting of SEAH cases.

95. All reports of sexual harassment and SEA are treated with strict confidentiality. "Strict confidentiality" means that the identity of the reporting party will not be disclosed to anybody outside of the Ethics Office and the Office of Audit and Oversight, unless the reporting party consents to disclosure or where allegations were made in bad faith or where disclosure is deemed necessary by IFAD to fulfill due process requirements in the investigation process or when there is a clear and imminent danger to the life or health of a person. IFAD ensures a prompt response to all reported allegations of sexual harassment and SEA (IFAD SEA Policy,[101] paragraph 19, page 6).

[101] https://www.ifad.org/documents/38711624/42415556/SEA_e_web.pdf/85275c4d-8e3f-4df0-9ed8-cebaacfab128?t=1611326846000

96. IFAD and project executing entities (EEs) will inform communities about the GRM through culturally appropriate mechanisms, ensuring information on the mechanisms at all three levels is communicated.

7. Further studies needed

97. **Under Component 1**. **Strengthening enabling conditions for transformative climate adaptive natural resources management**. The project will recruit an international gender expert for (i) stocktaking tasks (policy review and analysis) and (ii) field work to contribute to the diagnostic assessment (gender and Climate Change). The goal of the gender and climate change analysis is to better understand the national context, particularly focusing at gender equality issues in key climate sectors from a gender and climate change perspective. The study will provide concrete short term and long-term recommendations as part of: (i) policy dialogue and policy formulation to enhance gender and climate change agenda and (ii) detailed technical solutions to be provided to poor rural women in order to minimize the negative impact of climate change and strengthen their resilience. The main findings and recommendations will be discussed during thematic workshops on gender and climate change at national level for policy makers (through dissemination of findings from gender study, diagnostic , assessment) to ensure CC and NRM policies/ legal frameworks consider gender-specific recommendations. The study will then be published to contribute to wider dissemination of knowledge.

8. Monitoring and evaluation

98. The M&E system will give strong emphasis to monitoring of targeting performance. All implementing Partners (IP) will be required to provide disaggregated data on women and youth participation, in relation to overall programme targets, including further disaggregation by People with Disability (PWD) (where possible). The M&E system will collect and analyse information about programme outreach, effectiveness of the targeting strategy and specific benefits for women and youth. This requires strong coordination and collaboration between the M&E responsible person and the Gender and Social Development experts/Focal Points at all levels. Impact will be assessed on the basis of methodologically gender sensitive baseline, mid-term and completion surveys which will use key indicators to measure women's empowerment and youth inclusion. The proposed Social Inclusion and Environment and Climate Related Indicators are presented in **Appendix 5**.

99. Roles and responsibiliites of the executing entities in monitoring are described in **Appendix 7**.

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10. Environment and Social Management Plan Matrix :

The analysis has identified several types of key risks which could include exclusion and elite capture, disruption caused as a result of the construction of agricultural infrastructure or rehabilitation of rural roads, high climate risks of the agricultural sector to projected rising temperatures and changes in rainfall and glacial melt patterns that are likely to compound existing food security, energy security and poverty challenges, and risks related to sexual exploitation Abuse and Harassment (SEAH). Each of these are discussed below and appropriate measures are addressed. The climate risk screening guide has also identified specific risks to the livestock and crop sectors which are addressed in the ESMP Matrix.

ESMP Matrix						
Environmental/ Social and climate Impacts	Recommended Mitigation/Enhancement measures	Public Consultation Activities	Responsible Institution In Implementation Phase	Means of Verification (Monitoring and reporting)	Frequency of Verification	Cost Estimate
The risks of exclusion, elite capture, environmental damage due to road construction and detrimental imapcts of infrastructure investments, climate risks and sexual exploitation and GBV go unreported with no mitigation measures in place.	(1) Apply strictly the Grievance Redress Mechanism (GRM) as per the full design SECAP including key provision for SEAH and GBV. (2) Ensure dissemination of the GRM to local communities prior to starting programme activities ensuring a culturally and inclusive approach is adopeted (3) Maintain solid documentation for the received complaints during the operation of the programme and track the level of responsiveness (provision of feedback) and action taken and the resolution of the issues raised.	Start-up workshop with all the stakeholders.	PMU[102]	Review of the number of complaints received. Review of the number of complaints solved, the mechanisms used and the time it took to solve them. Keep a focus on women specific complaints and in relation to SEAH and GBV	Monthly	Costs under monitoring activities (C1,C2,C3)

[102] Ministry of agriculture as executing entity via the State Enterprise Project Management Unit (PMU).

ESMP Matrix						
Environmental/ Social and climate Impacts	Recommended Mitigation/Enhancement measures	Public Consultation Activities	Responsible Institution In Implementation Phase	Means of Verification (Monitoring and reporting)	Frequency of Verification	Cost Estimate
Beneficiary Dissatisfaction and Discrimination	Create a qualitative assessment of the aspirations of women and men of various age groups, especially the most vulnerable (female head of households, youth- especially young girls), through focus group discussions, to solicit feedback on the challenges being faced by them, their views on solutions and coping mechanisms, as well as feedback on the training programs and how they can be improved during all programme stage.	Community focus groups (FGD) at baseline and during implementation	PMU	Focus Group Discussion with beneficiaries	Semi-annual	Costed under social mobilisation activities (C2)
Social: Women, Youth and other vulnerable categories are excluded from programme benefits	During the mobilisation process, conduct strong public consultation at different levels on the programme objectives, eligibility criteria and selection process for specific activities directed to specific social categories, and available grievance redress mechanisms. This should be done in partnership with community leaders.	Start-up workshop with all the stakeholders.	PMU and other implementing partners	Reports on the mobilisation process and selection of beneficiaries should be properly documented, including the wealth ranking criteria planned to identify the poor and poorest categories.	Start of programme	Costed under social mobilisation activities (C2
Social: Gender Issues and all forms of Gender-Based Violence, including sexual harassment (SH) and Sexual Exploitation	(1) **Increase local organisations engagement to work with local leaders and male household's members** and promote campaign for sensitisation on gender equality and against gender biases and **GBV.** Community and Household level.	Start-up workshop with all the stakeholders	PMU and Implementing Partners	(1) Collect gender-disaggregated monitoring and evaluation data to track the extent to which women have been able to participate and benefit from programme activities (	Annually	Costed under social mobilisation activities (C2)which include gender awarness.

ESMP Matrix						
Environmental/ Social and climate Impacts	Recommended Mitigation/Enhancement measures	Public Consultation Activities	Responsible Institution In Implementation Phase	Means of Verification (Monitoring and reporting)	Frequency of Verification	Cost Estimate
Abuse and Harrassment (SEAH) due to the increasing mobilisation of women to participate in programme activities	(2) **Conducting gender-sensitive and participatory consultations** while finalizing and designing the various sub-programme activities. These have to include safe spaces/ women-only focus groups to encourage women's meaningful participation in consultations. (3) **Create female only spaces for women** to receive trainings and services (Women's Groups) (4) **Gender mainstreaming actions** should be developed as part of a Gender Development Plan (GDP) prepared by the IPs engaged in the implementation (5) Work with local government or authorities to sensitize community members on SEAH safeguarding; (6) Identify male champions where applicable to act as allies on SEAH safeguarding; (7) Provide SEAH training to project stakeholders and communities. (8) Undertake SEAH sensitization campaigns/trainings and/or disseminate relevant SEAH messages to the targeted communities;			including Women Head of Households) (2) Cases of sexual harassment and sexual exploitation and abuse (SEAH) has to be dealt with in compliance with IFAD's Policy to Preventing and Responding to SEAH and reported directly to IFAD.		

ESMP Matrix						
Environmental/ Social and climate Impacts	Recommended Mitigation/Enhancement measures	Public Consultation Activities	Responsible Institution In Implementation Phase	Means of Verification (Monitoring and reporting)	Frequency of Verification	Cost Estimate
	(9) As part of the **programme's stakeholder consultations, property inform those targeted by the programme about SEAH risks** and programme activities to get their feedback on programme design and safeguard issues. Consultations need to engage with a variety of stakeholders (political, cultural or religious leaders, health teams, local councils, social workers, women's organizations and groups) and should occur at the start and throughout the implementation of the programme. (10) **specific procedures for SEAH**, including confidential reporting with safe and ethical documenting of SEAH cases shoud be prepared. (11) For procurement: Clearly define the SEAH requirements and expectations in the **bid documents.** **(12) Evaluate the contractor's SEA/SH Accountability and** confirm prior to finalizing the contract the contractor's ability to meet the programme's SEAH prevention and response requirements.					

ESMP Matrix						
Environmental/ Social and climate Impacts	Recommended Mitigation/Enhancement measures	Public Consultation Activities	Responsible Institution In Implementation Phase	Means of Verification (Monitoring and reporting)	Frequency of Verification	Cost Estimate
	(13) Code of Conduct: The agreed CoC to address behavior which will be used on the programme for the contractor's workers, including sub-contractors and suppliers are compliance with SEAH related regulations 14) Undertake regular **M&E** of progress on SEAH prevention and response activities, including reassessment of risks as appropriate.					
Environmental and climate: Lack of policy and institutional coherence and support for forest and pasture rehabilitation.	**Under Component 1, CASP+ will engage in institutional support** in strengthening institutional and local capacity to plan, monitor and evaluate natural resources management under increasing climate change related stresses. The programme will aim at strengthening institutional and regulatory systems (remote sensing, surveillance) on climate-adaptive planning and NR monitoring. CASP+ will strengthen the capacities of *r*elevant government, local institutions and research agencies/universities for evidence-based joint climate-adaptive natural resources planning, management and monitoring (e.g. of pasture, forest,	Start-up workshop with all the stakeholders and During implementation	PMU and Implementing Partners	Stock taking of policy development and mainstreaming of gender sensitive climate adaptive agricultural practices. Mid-term and completion : use of policy support tools such as SIPT, GLEAM, EXACT, B-INTACT	every two years + Mid-term and completion	Costed under **Sub-activity 1.2.1.1.** Stock taking of policy development and mainstreaming of gender sensitive climate adaptive agricultural practices and **Sub-activity 1.2.1.2.** Training on the utilization of policy support tools

ESMP Matrix						
Environmental/ Social and climate Impacts	Recommended Mitigation/Enhancement measures	Public Consultation Activities	Responsible Institution In Implementation Phase	Means of Verification (Monitoring and reporting)	Frequency of Verification	Cost Estimate
	agricultural land, livestock, water / river basins). **Under the component 1**, the programme will propose relevant evidence-based policy and regional framework improvements (e.g., integrated NRM, land tenure, conflict resolution and registration, etc.).					e.g. SIPT, GLEAM, EXACT, B-INTACT
Environmental and climate: Intensification of storms and heavy rainfall events may affect pasture land, increasing erosion, loss of soils and water runoff and maladaptation from CASP+ activities.	**Under the component 2,** the programme will promote the creation of pasture user unions and pasture management plans under the CsCAP. The plans will promote the restoration of degraded pastures through rotation and fencing, and improvement of vegetation cover and the reforestation of upstream degraded areas for DRR. Specific ESMP will be prepared for each CsCAP. **Under the component 1,** the combination of remote sensing and bee monitoring will allow the PMU to closely follow the impacts of the activities on natural resources, from water management, pasture, forest and soil's health, erosion level and pollution.	Start-up workshop with all the stakeholders and During implementation	PMU and Implementing Partners	Remote sensing analysis, field monitoring and bee monitoring. Indicator to be determined at start up. PMP monitoring (by PMT). Two visits per year per PUU by PMT officers	Annuall	Costed under **Activity 1.1.2**: Introduce combined remote and participatory Natural Resources monitoring and management (CEP) Sub-Activity 2.2.1.2: Implement Pasture

ESMP Matrix						
Environmental/ Social and climate Impacts	Recommended Mitigation/Enhancement measures	Public Consultation Activities	Responsible Institution In Implementation Phase	Means of Verification (Monitoring and reporting)	Frequency of Verification	Cost Estimate
						Management Plan
Environmental and climate: Lack of water in summer pasture for livestock, gathering of animals at strategic locations, increasing pollution of streams. In winter, concentration of cattle manure in barn and pollution of soils and close streams.	**Under the component 2,** the programme will promote the creation of pasture user unions and pasture management plans under the CsCAP. The plans will promote the restoration of degraded pastures through rotation and fencing, and improvement of vegetation cover and the reforestation of upstream degraded areas for DRR. Furthermore, the programme will support of manure management and compost activities, the rehabilitation and installation of water points in pastoral areas, water management measures e.g. fences for shade, measures to retain water in soil, drainage, riverine and water spring restoration, protection and shade through reforestation in water points. **Under the component 1,** the combination of remote sensing and bee monitoring will allow the PMU to closely follow the impacts of the activities on natural resources, from water management, pasture, forest and soil's health, erosion level and pollution.	Start-up workshop with all the stakeholders and During implementation	PMU and Implementing Partners	Remote sensing analysis, field monitoring and bee monitoring. Indicator to be determined at start up.	Annual	Costed under **Activity 1.1.2**: Introduce combined remote and participatory Natural Resources monitoring and management (CEP)
Environmental and climate:	**Under the component 2,** the programme will promote the sustainable management of water by creating a	Start-up workshop with all the	PMU and Implem	Remote sensing analysis, field monitoring and bee	Annual	**Activity 1.1.2**: Introduce

ESMP Matrix						
Environmental/ Social and climate Impacts	Recommended Mitigation/Enhancement measures	Public Consultation Activities	Responsible Institution In Implementation Phase	Means of Verification (Monitoring and reporting)	Frequency of Verification	Cost Estimate
Risk of droughts and water scarcity during summer months can affect beneficiaries and activities as the amount of rainfall decreases in some areas, snow cover declines, and extreme temperatures rises.	rainwater harvesting network at river basin level under the CsCAPs. Furthermore, the programme will promote sustainable management of pastures with rehabilitation/establishment of water points for livestock.	stakeholders and During implementation	enting Partners	monitoring. Indicator to be determined at start up.		combined .remote and participatory Natural Resources monitoring and management (CEP)
Social: The opening of roads could lead to an increase in traffic accidents, especially among agricultural workers. Physical resettlement or economic displacement: If not carefully aligned, rural road	**Under the component 2,** the programme will promote the creation of pasture user unions and pasture management plans under the CsCAP. The plans will promote the restoration of degraded pastures through rotation and fencing, and improvement of vegetation cover and the reforestation of upstream degraded areas for DRR. CASP+ will also support Climate Resilient infrastructure investments, through screening and defined restrictions and safeguards, will make sure that CsCAPs include a balanced mix of investment	Start-up workshop with all the stakeholders and During implementation	PMU and Implementing Partners	Feasibility studies and monitoring Monthly	Monthly reports, yearly reports to GCF and IFAD	Costed under **Sub-Activity 2.1.3.1:** CsCAP planning and design **Sub-Activity 2.1.4.1:** Strengthening local institutions capacity to monitor and

ESMP Matrix						
Environmental/ Social and climate Impacts	Recommended Mitigation/Enhancement measures	Public Consultation Activities	Responsible Institution In Implementation Phase	Means of Verification (Monitoring and reporting)	Frequency of Verification	Cost Estimate
development may require displacement and resettlement, or will particularly involve loss of agricultural land. Environmental and climate: Risk of negative impacts on natural resources from infrastructure rehabilitation/construction and forest plantation especially nearby protected areas (buffers).	activities, and that they properly capture the need for specific interventions on climate change adaptation and disaster risk reduction. Rural roads will help improve transport and communications for the most vulnerable in rural areas. Improving mobility allows access to: (i) services (agriculture, education, health, finance); (ii) markets (inputs, agro-industry, wholesale trade, retail, export); (iii) income-generating activities; (iv) social, political and community activities; and (v) technology transfer. All the potential climate threats will be recognized under the CsCAP planning and design and design standards for rural roads - especially for drainage - need to be adjusted to avoid increased environmental damage. With climate change and the increased risks associated with climatic hazards, the period of recurrence of events will have to be increased, adapting installation of drainage works and river crossings. The project will seek to align for minimal negative impact - when the project involves the realignment of an existing road, it will consider all the alternatives and choose the road that will have the least direct and					evaluate CsCAPs

ESMP Matrix						
Environmental/ Social and climate Impacts	Recommended Mitigation/Enhancement measures	Public Consultation Activities	Responsible Institution In Implementation Phase	Means of Verification (Monitoring and reporting)	Frequency of Verification	Cost Estimate
	indirect negative impacts, taking into account the soils, climate, geology, topography, hydrology, ecology, land tenure, existing uses and other socio-economic factors (via the participatory approach of the project). No physical resettlement or economic displacement will be expected. In addition, the project foresees the consultative design of road sites using local knowledge, and safety measures will be included in the design of road rehabilitation activities according to national law. The development of infrastructures will be linked to the needs expressed in the participatory approach. Design for road safety will accommodate all prospective users and will not exceed the national standard design speed for rural roads; and provide speed bumps (with accompanying warning signs) in highly populated areas such as villages, schools, markets and other centres. Road safety assessment will be done for each phase of the project, and will monitor incidents and accidents and implement measures to resolve them, and prepare regular reports for this type of activity's monitoring					

ESMP Matrix						
Environmental/ Social and climate Impacts	Recommended Mitigation/Enhancement measures	Public Consultation Activities	Responsible Institution In Implementation Phase	Means of Verification (Monitoring and reporting)	Frequency of Verification	Cost Estimate
	Forest plantation in the buffer areas will be done with autochthonous and non- invasive species, taking into consideration the importance of a differentiated germplasm. (see Guidance statements 1&5 of the SECAP) without use of agrochemicals (Guidance statement 2 of the SECAP). Furthermore, proper forest management and planning aligned with the protected area management plan will be put in place as described **in the PIM** (project support to strengthening existing management plans or development of new plans). The PMU will hire experts (2 env&CC and 2 social inclusion) over the CsCAPs' design to evaluate the draft activities proposed and ensure the integration of mitigation measures under an ESMP for each CsCAP. Furthermore, for activities in buffer areas of reserves and national parks (plantation), the experts will produce an ESIA as presented in the **PIM**. Organization of training of 18 PMU and 8 CEP PIU District Officers on compliance with GCF requirements (e.g.ESIA)					

ESMP Matrix						
Environmental/ Social and climate Impacts	Recommended Mitigation/Enhancement measures	Public Consultation Activities	Responsible Institution In Implementation Phase	Means of Verification (Monitoring and reporting)	Frequency of Verification	Cost Estimate
Environmental and climate: Climate variability can stimulate emergence of diseases in livestock and forest.	**Under the component 3,** the programme will promote the extension services to the beneficiaries. Provision of inputs, including concentrate feed and veterinary drugs and the production of quality fodder will be a key priority in the programme approach. Provision of veterinary services, including preventive health care, to reduce the impact of production climate induced diseases (See Chapter 1 of Feasibility study). Improved in-barn conditions for animal welfare.	During implementation	PMU and Implementing Partners	FFS reports, annual reports.	Annually	Costed under **Sub-activity 3.1.3.3**: Roll out of FFS
Environmental and climate: More productive cattle breeds in Tajikistan not adapted to environment and climatic conditions.	**Under the component 3,** the programme will promote artificial insemination campaign and improved veterinary services. Provision of artificial insemination services, using semen of improved breeds adapted to local conditions.	During implementation	PMU and Implementing Partners	FFS reports, annual reports.	FFS reports, annual reports.	Costed under **Sub-activity 3.1.3.3**: Roll out of FFS
Environmental and climate: VCs not climate resilient and CIGs do not have the capacity to start	**Under the component 3,** CASP+ will facilitate individuals and common interest groups (CIGs) to access support services to identify, analyze and invest in climate resilient and profitable value chains. The focus will be on	During implementation	PMU and Implementing Partners	FFS reports, annual reports.	Annually	Costed under **Sub-activity 3.1.3.3**: Roll out of FFS **Sub-activity 3.3.1.3**

ESMP Matrix						
Environmental/ Social and climate Impacts	Recommended Mitigation/Enhancement measures	Public Consultation Activities	Responsible Institution In Implementation Phase	Means of Verification (Monitoring and reporting)	Frequency of Verification	Cost Estimate
business. Pollution issues from use of pesticides and mineral inputs.	strengthening the capacity of smallholders to adapt their production systems to become more resilient to changing climate conditions and identify access to local and national markets. CASP+ will support training of farmers in the adequate use of pesticides and mineral inputs. Furthermore, the use organic input will be supported, linking the livestock production to hail production and other VCs through manure management and compost activities.					Capacity building on climate smart resilient technologies for Window 1 and 2 beneficiaries and **Sub-activity 3.2.1.2.** Feasibility studies of proposed business arrangements including Productive Alliances

Detailed budget notes	Total (USD)
Environmental and social impact assessments (ESIA) - Recruitment of 2 Environment/Climate Change specialists	48000
Environmental and social impact assessments (ESIA) - Recruitment of 2 Social Inclusion specialists	48000
Environmental and social impact assessments (ESIA) - Experts travel	20000
Organization of training of 16 PMU and 5 CEP Project forestry specialists on compliance with GCF requirements (e.g.ESIA)	2000
Trainer for training (including material preparation) of 16 PMU and 5 CEP Project forestry specialists on compliance with GCF requirements (including ESIA)	4000
Gender and Youth policy specialist	82000
Total	204000

Appendix 1: Gender, targeting and social inclusion startegies

100. **Laws and Policies on Gender Equality**: In the last decade, the social gender equality framework has been expanded and strengthened through the adoption of new laws, amendment of existing laws, development of national programs, and incorporation of objectives within general policy documents. For the most part, however, such developments have focused on raising the status of women and girls and eliminating barriers to the realization of their rights, rather than on equalizing responsibilities and opportunities for women and men or addressing gender stereotypes.

101. The Constitution of the Republic of Tajikistan recognizes international law as a component part of the national legal system[103], and Tajikistan is a State Party to the Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW) and to other fundamental human rights treaties. In 2014, the parliament ratified the Optional Protocol to CEDAW, which allows individual women in Tajikistan to submit complaints to the CEDAW Committee and gives them an additional remedy for violations of the convention. Important steps have also been taken to implement UN Security Council resolutions on women, peace, and security (1325 and 2122) with the drafting of a national action plan. The Constitution guarantees equal rights on the basis of sex (Article 17), and principles of non-discrimination are enshrined in basic legislation, for example, the Family Code, the Labor Code, the Land Code, the Criminal Code, the Law on Education, and the Law on Public Health.

102. In 2005, Tajikistan adopted the Law on State Guarantees of Equal Rights and Opportunities for Men and Women, which is the only law to define the concepts of gender and sex-based discrimination. The law prohibits discrimination on the basis of sex, while distinguishing special measures to protect pregnancy and the health of women and men, and it guarantees equal rights in public authorities, civil service, education, labor, and the family.

103. Other legislative reforms are aimed at greater protection of women's rights, for example, laws combating human trafficking (2008), and domestic violence (2013), and protection of breastfeeding (2006). In 2010, the Family Code was amended to raise the legal marital age to 18 (for both women and men), which brought it in line with CEDAW.

104. Since 2006, Tajikistan has adopted several policy documents, national programs, and strategies that support gender equality goals. Some were intended to implement specific laws, for instance the Comprehensive Program to Combat Trafficking in Persons for 2006–2010, and the State Program for the Prevention of Domestic Violence for 2014– 2023, the State Program for the Education, Selection and Placement of Capable Women and Girls in Leadership Positions for 2007–2016 (adopted in 2006) aims to mitigate the barriers that prevent women from entering senior management.

105. The stand-alone policy, adopted in 2010, the National Strategy on Enhancing the Role of Women in the Republic of Tajikistan for 2011–2020, recognizes a lack of public gender equality understanding and gender policy support, the role of stereotypes, and the need to implement the formal equality that exists, but it nevertheless covers areas in which women encounter barriers: political participation, the labor market, entrepreneurship, and education. The strategy lists concrete actions for each sector, but does not establish the

[103] Article 10, Constitution of the Republic of Tajikistan.

responsible agencies, a timeframe with milestones, sources of funding, or a monitoring plan.

106. The government has made significant progress in mainstreaming gender into national socioeconomic development strategies, beginning with the adoption of the Poverty Reduction Strategies for the Republic of Tajikistan for 2007–2009 and 2010–2012.These strategies and the current Living Standards Improvement Strategy for 2013–2015 and National Development Strategy for 2015 all dedicate chapters to gender equality as a component of developing the country's human potential. Inclusion of gender equality targets in these strategic documents ensures that indicators, implementing agencies, and financing are also delineated.

107. Despite a solid legal and policy framework for protecting the rights of women and, to a lesser extent, advancing gender equality, many planned measures are never realized due to insufficient implementation mechanisms, weak monitoring and evaluation, and lack of dedicated finances.

108. **National mechanisms:** The Committee for Women's and Family Affairs (the Women's Committee) was established in 1991, and its authority was increased in 2006, making it the central authority carrying out state policy on protecting women's interests and rights. The Women's Committee has a broad mandate that includes cultivating women's rights, addressing women's socioeconomic participation, and delivering public services[104].

109. The Women's Committee operates regional information-consultation and crisis centers throughout the country (110 in total) and funded locally. The Chair of the Women's Committee is a government appointee, with 22 central offices as of 2014. Women's Committee activities are diverse, ranging from research to considering citizen complaints, promoting women's rights through the media, monitoring international standard compliance, coordinating government and nongovernment gender equality activities, and training. The Women's Committee work plan, which supports the branch offices, covers, among other items, climate change, support for labor migrants' wives, and peace and security issues.

110. The Committee is also part of the coordinating council on Prevention of Violence against Women, which consists of representatives from the Ministry of Justice, Ministry of Labour and Social Security, Ministry of Health, Ministry of Internal Affairs, court officials, representatives of the General Prosecutor's Office and NGOs.

111. **Gender Based Domestic Violence**: According to the Demographic and Health Survey Tajikistan (TjDHS 2017)[105], 24% of women age 15-49 have experienced physical violence since age 15, and 17% experienced physical violence in the 12 months preceding the survey. Only two percent of women have ever experienced sexual violence. In terms of spousal violence, it is reported that 31% of ever-married women have experienced physical, sexual, or emotional violence by their current or most recent husband. The prevalence of spousal violence has increased by 7 percentage points in the 5 years since the 2012 TjDHS. Among ever-married women who have experienced spousal physical or sexual violence, 23% have sustained some form of injury, one in 10 women sought help

[104] Approved by Government Decision No. 608, 9 December 2006.
[105] Demographic and Health Survey Tajikistan(DHS) Tajstat 2017.
Document available at: https://dhsprogram.com/pubs/pdf/FR341/FR341.pdf

to stop the violence they had experienced. Three in four women neither sought help nor told anyone about the violence.

112. In general, women's experience of spousal physical, sexual, or emotional violence by their current or most recent husband increases with age and number of children. Women who are divorced, separated, or widowed are more likely to have experienced spousal violence (47%) than those who are currently married (30%). The proportion of women who have experienced spousal violence varies greatly by region, from 16% in Dushanbe to 43% in Khatlon (TjDHS, 2017)[106].

113. According to the Government of Tajikistan's sixth periodic report to the Committee on the Elimination of Discrimination against Women (CEDAW) on October 2018, covering the period 2013-2017, a total of 1,296 complaints of domestic abuse were made to police, of which 1,036 were investigated by district police inspectors, and 260 by specially-appointed and trained inspectors for the prevention of domestic violence. 996 of those filed were complaints against men, compared with 296 made against women. Only 65 criminal prosecutions were initiated under various articles of the Criminal Code. The commission reviewing the report stressed that there is a great need to increase to domestic violence awareness in both the population and law enforcement staff on the National Law on the Prevention of Violence in the Family (adopted in 2013) and the corresponding State Programme (CEDAW Report, October 2018) [107].

114. **Women's role in agriculture activities:** According to the Tajikistan Country Gender Assessment conducted by the Asian Development Bank (ADB, 2016)[108] women are heavily engaged throughout the entire crop production process. Women's involvement (owners, users, or workers) in agriculture formally counts only when they are registered as legal entities or farm workers. Women are also heavily involved in unpaid family labor—they take care of a multigenerational family and are responsible for the home garden and securing water and food. Although the agriculture output of kitchen gardens significantly contributes to production and food security, it is presented without sex attribution in statistics and national reports (ADB, 2016).

115. There is little evidence that women have become empowered through agriculture. Gender experts point to the agricultural sector as one of the most exploitative. As explained above, women's agricultural work is characterized by seasonal, low-wage, and low-paid or unpaid positions, job insecurity, back-breaking conditions, lack of access to and control over productive resources, limited participation in decision-making activities and low technical and specialized knowledge (ADB, 2016)[109].

116. Women are often described as lacking the appropriate skills and knowledge required, whether as farmers or farm managers, influencing their ability to take on these roles. Their continued participation as informal, seasonal laborers reinforce the perception that women have no experience or knowledge of farming. This is further strengthened by the widespread belief that men, as breadwinners and heads of households, are farm managers regardless of whether or not they are active in the sector. Due to this, women's tasks are

[106] *Ibidem*
[107] United Nations Human Rights: Committee on the Elimination of Discrimination against Women, Tajikistan's sixth report (31 October 2018) https://www.ohchr.org/EN/NewsEvents/Pages/DisplayNews.aspx?NewsID=23807&LangID=E
Full report available at:
https://tbinternet.ohchr.org/_layouts/15/treatybodyexternal/Download.aspx?symbolno=CEDAW/C/TJK/6&Lang=en
[108] Tajikistan Country Gender Assessment, ADB, 2016.
Document available at: https://www.adb.org/sites/default/files/institutional-document/185615/tajikistan-cga.pdf
[109] *Ibidem*

largely restricted to field labor, such as weeding, sowing, transplanting, and harvesting, which do not require decision-making, whereas the selection of seeds, fertilizers, and plant protection materials is controlled by men. Further, although both men and women are involved in livestock-raising, it is men who decide on the purchase, sale and other operations linked to its management (ADB, 2016)[110].

117. Animal husbandry is a major agricultural activity, and raising livestock is the norm for rural households (73 percent of households have livestock, including cattle, horses, donkeys, mules, pigs, sheep, goats and poultry). There are gender differences in the extent to which households are engaged in raising livestock. Households headed by men are more likely than female-headed households to keep livestock and to have a larger number of animals across all categories of animal ownership. When FHH do have livestock, they tend to have cattle and poultry, possibly because dairy farming is traditionally seen as "female" work or because selling extra milk and eggs is a relatively low intensity means of supplementing household income (FAO, 2016)[111].

118. The pattern of livestock ownership is generally the same for women and men; the majority of household own cattle (54 percent and 66 percent of FHH and MHH, respectively). Poultry are the next most commonly-owned form of livestock (owned by around a third of rural households).

119. **Women-led Dekhan farms**: A particular concern is the serious underrepresentation of women either as agricultural title owners or decision makers. Dekhan farms are the most common type of agricultural enterprise in Tajikistan. They are privately-owned commercial farms that function as legal enterprises and can be based on the work of an individual (a sole entrepreneur), a family or a group of people (a collective). Family and collective dekhan farms are managed by a head who officially holds the farm's land registration certificate and represents the legal interests of the farm. The number of dekhan farms has increased annually, from a total of 30,842 in 2008 to 108,035 in 2014 (FAO, 2016)[112].

120. Looking specifically at *dekhan* farms, the number managed by women has been rising alongside their general growth. In 2014, women headed 13% of dekhan farms (up from 8% the previous year)[113]. The growth in women-led dekhan farms from 2013 to 2014 is attributed to state and donor efforts to increase women's involvement in dekhan farming and to register individuals who once worked on collective farms as individual farmers (FAO, 2016).

[110] *ibidem*
[111] National Gender Profile of agriculture and Rural Livelihood Tajikistan (FAO, 2016). See footnote 21 for link to document on line.
[112] Ibidem
[113] State Statistics Agency. Gender Statistics Database, 2013 http://oldstat.ww.tj/img/en/seling.pdf

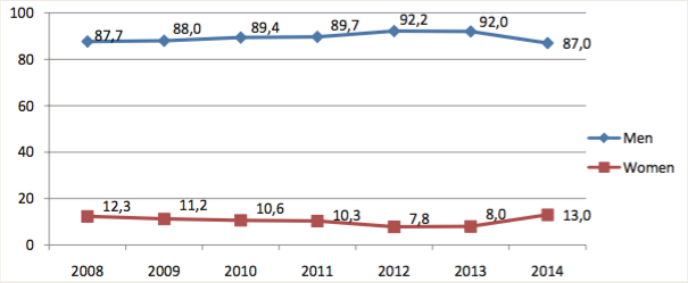

Figure7: Trends in Dekhan Farm Management by Women and Men, 2008-2014 (%) Source: FAO Gender Assessment, 2016

121. However, the average size of female-headed farms is smaller than those managed by men, and in 2014, women managed only 6.4% of all planted crop land on *dekhan* farms[114]. *Dekhan* farms headed by females also have fewer shareholders (but more female shareholders) than farms headed by males. Customarily, family plots and presidential lands are registered to the household head, most often a male. Furthermore, documents that stipulate the right to use collective *dekhan* farm lands are generally not issued to all members, most of whom are women, but instead are issued in the name of the male head, most often the husband, brother, or, if a woman is widowed, her eldest son (ADB, 2016).[115]

122. The low level of leadership, suggests women face gender-based barriers to assuming the responsibility of *dekhan* farms. Although few women are legal heads of *dekhan* farms, women are assuming the de facto leadership on some *dekhan* farms because of male migration.

The Main Gender Activities under CASP+ by component are presented below:

123. **Under Component 1**. **Strengthening enabling conditions for transformative climate adaptive natural resources management**, the project will support universities to develop curricula specific on climate change and number of students will be enrolled and some of them will be granted a scholarship. The scholarship available will be for 50 students in total (BA, MA and PhD level) and 25 will be young girls from target areas. The aim of the scholarship programme is to increase the climate resilience of communities by enhancing the capacities of young women and men in NRM, climate change and climate-resilient, diversified production systems. Another activity proposed is described in the section below (studies needed).

124. **Under Component 2**: **Investments in community capacity for adaption and resilience to climate change,** the project will benefit women trough participation in CsCAPs development plan. Women will be 50% beneficiaries (of which 20% WHHs) and minimum of 30% representatives in decision making process (VOs, PUUs, FMGs). Furthermore it is expected that Women (minimum 30%) will participate in the final workshop to determine CsCAPs. During the mobilisation and consultation process, separate consultations with women will take place: women will be informed about the opportunities

[114] *Ibidem*
[115] Gender Assessment, ADB, 2016,
Document avallabile at: https://www.adb.org/documents/tajikistan-country-gender-assessment-2016

of the project, including acting as representatives in VOs, PUUs, FMGs. They will be encouraged to develop clear ideas of their priorities for what concerns CsCAPs.

125. The outcome of the consultation is to ensure that women's needs and priorities are identified and that during the community prioritization process forCsCAPs, they are participating (at least 50% of workshops participants) and able to clearly express their view. Training to women's representatives will be provided by the community facilitators to ensure that women's take action to ensure that their priorities are integrated into the CsCAPs. As part of direct targeted interventions, trainings for women leaders (targeting 6 women per village, for a total of 2,400 women across the 400 targeted villages) will also be conducted. The objective is preparing women members of community organizations to be leaders and change agents in their organizations. They will be provided with sensitization on topics including gender relations, self-awareness, leadership and accountability, negotiation and conflict management, advocacy and lobbying, effective communication (among others).

126. **Component 3: Strengthening livelihoods for enhanced resilience through market based approaches**, specifically, activity 3.2.3: Support adoption of climate smart innovations through demonstrations and FFS, women will account for 2,000 (20% will be women head of households) and they will able to access the main climate resilient technologies that will be disseminated.

127. Based on the livelihood analisis and the role of women in agriculture, all the proposed technologies and trainings are suitable for women. It is also expected that their presence will be particularly prominent given their strong engagement in livestock related activities. In order to allow farmers to access to these demonstrations, field days will be organized and women will account for 30% participants.

128. In addition to participation in FFS women will also be trained through CIGs (Activity 3.3.1. Identify individuals and establish Common Interest Groups around selected value chains and capacitate them) and receive trainings on climate smart resilient technologies and organization of business trainings: farm as business, business planning, proposal writing to enhance their business capacity and apply for grant financing.

129. A Matching Grant Facility (MGF) will be established and will have MGF Window 1 (livelihood diversification for vulnerable households) and Window 2 (commercialisation and agribusiness development). It is expected that a total of 10,200 households will access 1,020 Window 1 grants and 2,200 households will access 110 Window 2 grants.

130. Window 1 will be for grants of up to 6,000 USD and women will account for 50% beneficiaries (510) of which 20% are expected to be WHHs . These grants could be for, e.g. small-scale processing equipment, local storage infrastructure, community-based seed production, inputs and service provision, drip irrigation, greenhouses, nurseries, shelterbelt establishment, riverbank stability, access to renewable energy. Farmers accessing Window 1 will match the grant with a 10 percent cash contribution. Window 2 will be for CIG grants that have an average value of USD 30 000.it is expected that 110 groups will access Window 2 and 30% should be women-led (corresponding to 33 women-led groups).

131. Detailed description is provided in Appendix I to the SECAP, section I on ***Gender strategy and programme opportunites for Women.***

Gender Strategy

132. Gender mainstreaming in the project will be done with a focus on gender responsive and equitable participation for development planning and implementation, as well as ensuring participation of women and other vulnerable groups in project implementation and community representation and decision-making. This includes training and awareness raising in (i) gender responsive participatory approach in identification of development needs with specific focus on social inclusion of women and other vulnerable groups in the community decision making process such as PUUs committees, village organisations (VOs) committees, etc., (ii) gender responsive monitoring and evaluation of project implementation and progress, (iii) training in community mobilization, management and leadership skills, including training in economic diversification business advisory services and business plan formulation.

133. One of the Project's objectives is to ensure that all project targets groups (men, women, young people, including vulnerable groups such as women headed households and the elders) have equal access to opportunities resulting from the Project, especially in terms of information. For this reason, there is a plan to organize a strong communication campaign to inform about project opportunities, including awareness raising sessions with community leaders and men, on the role of women in the development process through their representation in grassroots community organizations. Their awareness will also be raised on the benefits the community can derive from the involvement of women in these development processes.

134. The communication and mobilisation strategy will also be supported by a strong diagnostic process whose objective is to identify the main environmental challenges affecting the communities (including from a gender perspective) and properly inform communities to take decisions on the opportunities created under the project. This includes opportunities for Climate Sensitive Community Action Plans (CsCAPs) as well as livelihood diversification through Common Interest Groups (CiGs) and access to climate smart technologies and practices trainings through participation in Farmers Field Schools (FFs).

135. Access to information by women at village level largely depends on the channel by which this information arrives. To account for this, the Project will conduct separate consultations with women, using existing formal/inform women groups at village level (if existing) or forming new ones. The separate consultation sessions will be conducted by community facilitators (CF) in every targeted village. They will also ensure involvement of women head of households and women from very poor households (below poverty line). The consultation will be in line with women's need to accommodate proper time and location. The ToRs of community facilitators reflect the tasks above and are presented in the PIM.

136. A strong monitoring process during the information/mobilisation activities will be put in place to ensure that information reach the intended beneficiaries (including vulnerable socio-economic categories) and indicators will be gender disaggregated.

Women's access to education, technical knowledge, and skills

137. As reported in the gender assessment women have lower level of education, technical knowledge and skill to apply climate smart agriculture practices. Women often are not able to attend trainings and they account for small percentage of training recipients.

138. An example from ADB survey (as reported in the Country Gender Assessment, 2016) reveals that 1,800 farmers indicate that women are more likely to have no specialized training than men and specifically to lack vocational training (19.3% of men as compared to 7.9% of women) and higher education (5.1% of men and 2.2% of women) in agriculture.

139. CASP+ remote design Mission organized 4 separate Focus Groups Discussion (FGD) with women's participants (26) from the districts of Hamadoni, Mashcoh, Sharituz and S.Shohin (Khatlong). They drew attention to the need for: (i) increasing their knowledge about improved agriculture practices; (ii) marketing and (iii) how to expand their businesses and move from unskilled low income production to commercial agriculture. They also show interest to increase knowledge about diversification of economic activities. Rural women expressed their constrained by:(i) their limited agricultural technological knowledge, and (ii) lack of training relevant to areas where they could start businesses. They also highlighted the need to participate in exposure visits.

140. Most of the women interviewed, had rarely received training (on agricultural techniques, financial management of their operation and climate smart agriculture practices). For this reason the project aims to include training for women (50% beneficiaries) in Farmers Field Schools (FFs) and Common Interests Groups (CIG) as well as trainings on climate smart resilient technologies and business trainings: farm as business, business planning, proposal writing. This is key to support preparation of business plans and access grant financing schemes: livelihood development (window 1 for individuals from vulnerable categories) and commercialization and agribusiness (window 2 for groups).

Women's access to services and technologies provided by CASP+

141. The project has a strong focus on gender-equality. Access to services and technologies provided by the project will equally benefit men and women. Design of services and promotion of technologies are also taking into account the different needs of men and women and the different livelihood and economic activities they are engaged.

142. The assessment found that the productivity and resilience to climate change of traditional livestock production systems (where majority of women are engaged) is limited by the poor capacities of farmers on animal husbandry, in particular related to fodder cultivation, fodder conservation and stall feeding, and the availability of and awareness on technical innovations that could improve productivity, resilience to climate change, and reduce environmental impact. This is particularly relevant for women as emerged during the FGDs. The project will support the dissemination of these technical innovations and their adoption by smallholder farmers through a combination of demonstrations and hands on training activities.

143. As part of the activities planned under component 3: specifically, activity 3.2.3: Support adoption of climate smart innovations through demonstrations and FFS, women will account for 50% beneficiaries corresponding to 6,280 women (20% will be women head of households) and they will able to access the main climate resilient technologies that will be disseminated:

- New varieties and species of drought and heat resistant fodder;
- Affordable and simple fodder conservation techniques, in order to reduce seasonality of production and dependance on pasture in winter;
- Biogaz production (in order to reduce utilization of wood, dried cotton plants and cow dungs as fuel);
- Composting and manure management;
- Husbandry of alternative livestock species, not or less dependent of pasture resources, and resilient to climate change;
- Prevention and management of animal diseases;
- Reproductive management (detection of heats, calving and calf care, drying off management).

144. In communities where the project will support marketing and processing of milk, milk hygiene and milk quality/safety management will also be addressed under this activity. Based on the livelihood analisis and the role of women in agriculture, all the proposed technologies and trainings are suitable for women. It is also expected that their presence will be particularly prominent given their strong engagement in livestock related activities. The type of proposed training and technology introduction correspond to the need expressed by women during consultation through Focus Group Discussions (FGDs).

145. It is also suggested that training location and time take into account women's need. Furthermore, the mission acknowledges the need expressed by women during consultation to have separate trainings groups (only women FFs/groups). In line, the project will form only women FFs (where needed) and time and location for schools will take into account women's needs. FFs facilitators, will be trained to provide gender-sensitive responsive services. The type of trainings, of interest for women, coupled with increased gender sensitiveness of FFs facilitators, will ensure women access to services, trainings and technologies promoted.

146. The thematic focus of FFS will put priority on fodder management and conservation (contribution to climate resilience), as well as milk hygiene (needed for market access) and processing. All topics are of interest for women, however, as required by the FFS methodology, thematic topics will be selected by participants according to their needs and this will also take into account women's need and preferences in addition to the above.

147. Furthermore, women will access information about climate resilient technologies and innovations that have been tested, adapted and validated by research institutions under Component 1. These will be demonstrated in the field to enable men and women farmers to acknowledge their benefits and feasibility, and select those that will be further popularized and tested in real farm conditions through FFS.

148. In order to allow farmers to access to these demonstrations, field days will be organized and women will account for 50% participants. The total target for this activity will be 20,000 people and therefore 10,000 women are expected to benefit from technologies demonstration (through demonstration plots).

149. In addition to participation in FFS women will also be trained through CIGs (Activity 3.3.1. Identify individuals and establish Common Interest Groups around selected value chains and capacitate them) and receive trainings on climate smart resilient technologies and organization of business trainings: farm as business, business planning, proposal

writing to enhance their business capacity and apply for grant financing. It is expected that women will account for 50% of participants for climate resilient technologies and business planning.. It is also expected that women accessing Grant Financing Opportunities (windows 1 for individuals) for livelihood diversification for vulnerable households will be 55 (out of 110) and women led-groups, accessing Grant Financing Opportunities (windows 2 for groups) for commercialization and agribusiness development will be 30% women led (target 110 groups).

150. The productive areas to organize women around CIGs will be identified during the consultation process, in line with findings from the diagnostic study. As for FFs the training topics, location, time, will take into account the needs of women, to ensure the services is fully gender-sensitive and women are able to access.

151. Component 1: Support to University Students through scholarships. The project will also offer services relevant for young women. In addition of being indirect beneficiaries (as HHs members) the project will provide direct targeted services for young girls (students). It is expected that the project will support universities to develop curricula specific on climate change and number of students will be enrolled and some of them will be granted a scholarship.

152. The scholarship available will be for 50 students in total (BA, MA and PhD level) and 25 will be young girls from target areas. The aim of the scholarship programme is to increase the climate resilience of communities by enhancing the capacities of young women and men in NRM, climate change and climate-resilient, diversified production systems. Vulnerable youth from the project areas who are interested in studying a bachelor's/master's/PhD programme (e.g. bee-keeping, horticulture, forestry and pasture management) at the Tajik Agrarian University will be identified. Their scholarship should cover expenses so that they can undertake research in their communities on natural resource management and climate resilience of production systems. During their studies, students should be coached and supported in identifying possibilities to take up posts in their areas of speciality in local public institutions or to develop start-ups. Support for start-ups on an individual or collective basis could be provided through CASP+. In addition, the Tajik Agrarian University is considering the development of a start-up programme so close coordination with them in the identification of additional funding possibilities will be necessary.

153. Once youth return to their villages, they should be involved in the preparation and implementation of the CsCAPs to share their knowledge and expertise. This is an opportunity for youth to take a leading role in mobilising communities around certain activities to manage NRM and increase their climate resilience.

Women in decision-making

154. Women's decision-making role is limited, although it varies depending on the types of decisions under consideration and if it is at households or community level. From the consultation with women in FGDs it appears that consultation among family members and joint decision-making is prevalent. This include expenses/income related to agriculture production. Kitchen gardens are mainly in the domain of women who decide on type and quantity of crops, how much to spend on production inputs, and whether to consume or sell their produce. The same apply for milk-product, although sale of animals remain in the domain of men.

155. From the consultation from remote with women through FGD, it also emerged that younger women, and particularly daughters-in-law, have few assets and little power in the household. Intra-household hierarchies among female members exist. Elder women are best positioned to make decisions that are accepted by other household members.

156. Conventionally, males conduct all the decision-making within Tajik households. However, due to male outmigration, women have become de facto heads of the household and decision makers. Land plots may be left to be operated by female heads, given for use of close relatives or rented out. In some cases, males formalize the land rights in the name of their wives to prevent additional problems during their absence.

157. Consultation with female dehkan farmers during FGDs confirm that they make most of the production decisions alone or with the support of male family members, especially on buying quality seeds and fertilizers. Decision over milk and dairy products is entirely controlled by women while decision over livestock is controlled by men.

158. At community level most of decisions are taken by male household members, as they are represented in higher percentage in Community Based Organisations. Presence of women in village development committees (as reported from women's interviews) is lower compared to men and they lack leadership skills to have their voice heard. This is confirmed by presence of women in decision making as per data reported in this assessment in relation to women in PUUs and WUAs.

Promotion of Women Leadership under CASP+

159. Women limited capacity to assume leadership role is often associated to cultural constraints and determining factors which include:

- Low status due to persistent gender discrimination and gender stereotyping, where women are generally viewed to be unfit for leadership, and subsequent lack of support for women's entry to leadership structures;
- Limited opportunity to engage full time in activities outside the home due to unequal burden of care work that falls upon them;
- Low self-esteem and inadequate leadership skills and experience as a result of the above factors.

160. In light of the above constrains which were also identified in the target areas through discussion with women, the project intends to support women's and women's leaders to increase their awareness about their rights, their presence in the decision making process of CBO and ability to exercise their rights and express their opinion/voice. Specifically, the project will set quotas to ensure a minimum representation of women in decision making and representation positions.

161. In line with available data it is confirmed that women are 30% representative in PUUs. The same strategy for quotas is also applied by the CASP gender strategy to have women as 30% representatives in Village Organisations (VOs). CASP + will apply quotas for women as decision makers in key committees such as Pasture Users Unions / Groups (PUUs, PUGs), Forest Management Groups (FMG) and Village Organisations (VOs).

162. Women participation as registered in the IFAD funded Livestock and Pasture Development Project II (LPDPII) is 30% women in the PUU board. Similar findings emerged from Focus Group Discussion (FGDs) held with women groups during Concept Note and

Project Design (October 2020 and April 2021 respectively) where women interviewed (some of them members and representatives of PUUs) confirmed the 30% presence of women as board representatives and recognized the need to receive leadership trainings. Key notes from the consultation are available in Annex II of this report. In order to create an enabling environment for women and ensure they can perform have an active role, the following activities are planned:

163. Raise the awareness of women and men leaders and members of CBOs (i.e. VOs and PUUs) on the manifestations of gender bias (against women) and on the effects of discrimination against women on the personal and interpersonal growth of its leaders and members, as well as on the organizational development of the organisation. The activity will be part of gender awareness session taking place in all targeted villages.

164. The awareness session will also include briefing on women's legal status (equality of rights) and legislation about women in representation and key position as outlined by the national gender strategy. Other gender sensitive topics will be touched with particular attention to women and climate change.

165. Trainings for women leaders, targeting 6 women per village, for a total of 2,400 women across the 400 targeted villages. The objective is preparing women members of community organizations to be leaders and change agents in their organizations. They will be provided with sensitization on topics including gender relations, self-awareness, leadership and accountability, negotiation and conflict management, advocacy and lobbying, effective communication. The training will specifically include abut 4 modules: Effective and gender-responsive leadership and comunication; group management; coping with challenges/conflict resolution strategy; and personal development.

166. The module on "Personal Development," provides the trainees with tools for self-analysis, reflection and development. This module is seen to be critical because the enhancement of the skills of women can only be translated into their more effective participation in leadership structures if they know how to constantly check themselves for deep-seated internalization of gender stereotypes, as well as to sustainably develop their self-esteem and confidence for leadership.

167. The training is planned to take place during year 1 (5 trainings in each district (21 total), including 20 partiicpatn per training) specialised service provider will be hire to conduct the training in the 21 districts covering 400 villages. It is suggested that the same Service provider consucting the mobilisation will also deliver the leadership training (ToRs are presented in the PIM).

Men and women needs and priorities captured by participatory processes under CASP+

168. Men and women in the target areas have different needs and priorities and this depends on their livelihood, age and also socio-economic status. Desk review analisis shows the following gender differences and links to climate change vulnerability:

	Women	Men	Link to climate change vulnerability
Role	Produce household-oriented crops and livestock products	Produce market-oriented crops and	Both crops and livestock are affected by climate change, and this has profound consequences for household food security. Men often claim safer/more fertile land for growing market-

	Women	Men	Link to climate change vulnerability
		livestock products	oriented crops, leaving women to grow household-oriented crops.
	Are responsible for food storage and preparation	Are responsible for selling valuable produce and livestock	In addition to the challenges described above, climate change has implications for food preparation and storage (in terms of water for food preparation and the vulnerability of food stores to extreme events). Harvests may be reduced or even wiped out by floods or droughts.
Resource	Have lower incomes and are more likely to be economically dependent	Have higher incomes and are more likely to own land and other assets	Men typically have more money and other assets than women. Men's savings provide a "buffer" during tough times and, along with other assets, make it easier for them to invest in alternative livelihoods.
	Have less access to education and information	Have more access to education and information	Managing climate-related risks to agricultural production requires new information, skills and technologies, such as seasonal forecasts, risk analysis and water-saving agricultural practices. Men are more likely to have access to these resources and the power to use them and are therefore, better equipped to adapt.
Power	Have less power over family finances and other assets	Have more power over family finances and other assets	Without the power to decide on family resources and finances, women's ability to manage risks by, for example, diversifying crops, storing food or seeds or putting money into savings, is limited.
	Have limited engagement in community politics	Have greater involvement / decision-making power in community politics	Men are likely to have more influence over local governance-promoting policies and programmes that may not support women's rights and priorities.
	Face many cultural restrictions/limited mobility	Face few cultural restrictions/ limited mobility	Mobility is a key factor in accessing information and services.

169. The activities proposed by CASP+ are relevant to both men and women, including from different socio-economic categories and vulnerable groups. Stakeholder engagement process has taken place and both men and women express their concern in relation to climate change and proposed solutions. In some cases, men and women shared the same view, while in other cases they expressed different opinions (major details can be found in the stakeholder report).

170. This has taken place during project design mission and reflected into the proposed activities. Furthermore, in order to comprehensively capture men and women's needs and priorities for investments, the project will undertake a diagnostic study in the 21 targeted districts. The analisis will integrate gender considerations.

171. Technical assistance (TA) to conduct gender analisis in the target area has been planned. This will be done in close coordination with the overall diagnostic process. Findings will support the identification of women's needs, potential priorities and opportunities to inform the development of CsCAPs and also the sectors for CIGs development. The findings from the study will then be discussed and validated by women's groups from targeted communities.

172. During the mobilisation and consultation process (community level) separate consultations with women will take place: women will be informed about the opportunities of the project, including acting as representatives in VOs, PUUs, and validate the findings from the diagnostic. They will be encouraged to develop clear ideas of their priorities for what concerns CsCAPs and CIGs.

173. The outcome of the consultation is to ensure that women's needs and priorities are identified and that during the community prioritisation process for public and private investments, they are participating (at least 30% of workshops participants) and able to clearly express their view. Training to women's representatives will be provided by the facilitators to ensure that women's take action to ensure that their priorities are integrated into the CsCAPs and for CIGs. The ToR of community facilitators (CF) are presented in the PIM.

CASP+ Gender Strategy

174. CASP+ while promoting positive shifts in the natural resource management through policy instruments, capacity building and investments for adaptation and mitigation, presents a major opportunity to mainstream gender empower women and eliminate, where possible, gender stereotypes and patriarchal attitudes in the forestry and livestock sectors whereby gender equality and women's rights have faced a number of challenges. The gender strategy of CASP+ is informed by the Gender Assessment and recognizes that rural women in Tajikitan play a key role in the natural resource management, and that they have a high stake in both climate change adaptation and mitigation measures.

175. It also reflects the understanding that women's equal participation and as active actors and agents of change in the project needs to be facilitated through a set of specific measures, including those, related to leadership and decision-making skills. The gender strategy therefore aims to use every possible opportunity in the project actions to advance towards gender equality and women's rights. Underlying principles and key features of the gender strategy are as follows:

- Women will equally participate in the project implementation at all levels and benefit from its opportunities. A minimum of women's quotas will be set for specific activities.
- The project, through the inclusive participation of stakeholders will support the strengthening of gender mainstreaming in the policy dialogue. Gender and climate change study will be prepared and finding disseminated through gender workshops at national level involving key stakeholders engaged in policy formulation.

- Women's informed engagement in decision making processes on related matters (e.g. livelihood adaptation, natural resource management) – both at community and household levels – will be facilitated;
- Opportunities for women's social and economic empowerment, as well as their leadership and decision-making opportunities, will be identified and supported. The project will target women and women head of households to participate at decision-making level in the executive committees of Pasture Users Unions (PUUs), Village Organisations (VOs) and Forest management groups (FMG).
- needs for women's capacity enhancement on relevant topics will be addressed and acted upon, and all trainings will take gender issues into consideration in the modules, selection of participants, communication and mobilization channels, selection of venues and logistical issues.
- all project stakeholders will be sensitized and trained on the importance of gender mainstreaming, under the project and of specific Gender Action Plan GAP actions (see GAP Annex 8 of GCF proposal);
- gender equality and mainstreaming are adequately introduced to the target communities, project staff and other stakeholders; all communication materials and project messages address gender aspects and use gender-sensitive languages.
- As part of the programme's stakeholder consultations, property inform those targeted by the programme about SEA/SH risks and programme activities to get their feedback on programme design and safeguard issues.
- Staff in the project unit will include a qualified personnel (Gender and Social Inclusion Specialist) who oversees gender mainstreaming in the project and GAP implementation; including definition of SEA and SH procedures.
- knowledge management of the project mainstreams gender, and the project will monitor and evaluate gender-differentiated outputs and outcomes through sex-disaggregated M&E indicators and other tools . Gender impact assessment will also be conducted.

Youth strategy.

With youth continue to face multiple challenges especially in relation to employment leading them to migrate CASP will main stream youth throughout all project components. CASP+ interventions aim at including youth at the community to increase their say in the future of the community and pursue them to remain a part of this community. Youth will also be supported asth main beneficiaries of scholarships allowing them to develop academic carreers. Finally, youth will be actively included as part of FFS, are trained as AI inseminators and para-vets. Finally, youth will be also beneficiaries of matching grants. Below are the youth dimensions of the different components and pathways/outcomes of this intervention including budget notes.

Activity	Youth dimension	Outcome and pathway.	Budget allocated to youth.
Component 1: Strengthening public sector capacity for transformative climate-resilient management of natural resources	1) Youth will indirectly benefit from the improved curricula. 2) Young/aspiring reserachers will be targeted as gran recipients.	1) Youth will have improved access to curricula - indirectly this will allow them to address climate change issues. 2) Creating academic pathways for aspiring young researchers.	1) 100% of the scholarship budget is for youth.
Component 2: Investments in community capacity for adaption and resilience to climate change	1) Youth will be included in the consultation processes to assuring the adequate buy-in of this group. Minumum 40% of youth needs to be present in the conulstation process. 2) Including youth in common interest groups allowing them to actively benefit from the activities. 3) Identification of market and business opportunities / Feasibility studies to be undertaken should take gender and youth issues into account. This means that the studies should aim at proposing acvitities in which youth can participate.	1) Youth have an increased say in their communities and hence might be incentivised to reside/remain in rural communities. 2) Nourishing future young leaders.	N/A. - budget allocated to integrated in the overall planning processes.
Component 3 Strengthening livelihoods for enhanced resilience through market based approaches	1) The rationale of this component is to include youth in climate resilient livestock activities allowing them not only to benefit from income generating opportunities but also to create a longterm sustinable livestock sector. 2) By including youth in FFS, their knowledge on (climate smart) agricultural practices. The implementing agency will try to include as many young people as possible in the activitity at least 25%. 3) Including youth as a seleciton criteria for matching grants.	1) Youth are intices to stay in the rural areas due to increased livilihood opportunities. 2) Youth as well as other beneficiairies benefit from an improved livestock system. 3) Youth increase their knowledge on agricultural practices. 4) Youth are offered direct employment activities through matching grants.	1) The enitre budget for AI is dedicated to youth. 2) 40% of the budget for vets is dedicated to youth. 3) Thresholds for youth in matching grant budget.

Targeting Mechanisms and Social Inclusion Strategy

176. **Beneficiaries:** The programme will benefit about 100 000 HHs (average 6.5 members each in rural areas)[116] corresponding to 2 918 426 Millions individuals. These include communities affected by climate change and specifically poor smallholder farming households. Specific focus will be on vulnerable categories such as: women, female heads of households, youth (including young returning migrants) and Persons with Disability (PWD). Women should be 50% beneficiaries (of which 20% FHHS) and youth 40% of total target beneficiaries.

177. **Target areas:** The Programme will be implemented in 21 selected districts in the regions of DRS (3) Sughd (2) and, Khatlon (16).

178. The selected districts have a large amplitude of elevation, from high mountains in the South-East of Khatlon (Sh.Sholin, Khovaling and Baljuvon districts) and in the West of RRS (Gissor and Shakrinav districts) with mountains up to more than 4000 meters high, to the medium and low lands in the rest of the districts with elevation down to less than 400 meters high.

179. The project area represents a bit more than 15% of the total country area and includes 47% of the national population[117]With more than 50% of the total livestock heads at national level, it has around 27% of the total pasture area, most of which is highly degraded. Average poverty levels of these districts is above 15%, spanning from the lowest relative poverty incidence in Rudaki (DRS) district (6,9%) and Mastchoh in Sughd as the highest, at 34%.

180. The project area is situated in a high agricultural production zone with a bit less than 50% of rainfed and irrigated crops. Only 8% of the actual forest land is situated in the project area, however it includes more than 21% of potential area for reforestation[118] of the country.

181. **Methodology for the geographic targeting:** The selection of the districts was based on a vulnerability index including social, environmental and climatic and infrastructure parameters[119]. The average vulnerability index of the project area is higher than the national average. Indeed, the area has suffered repeated long term drought events[120] in the past decades in most of the selected districts (excluding Farkhor and Danghara). Furthermore, they experienced heavy precipitation events, specifically in Sh.Sholin, Khovaling, Baljuvon, Gissor and Shakrinav districts in Khatlon. Most of the project area is also situated in the area where the average maximum temperature is the highest in the country (except high mountain areas).

182. The design team in coordination with National Partners has undertaken a ranking exercise based on climate vulnerability (including rainfall trends, drought, erosion, land degradation) crossed checked with other socio-economic indicators (poverty percentage, rural population density). The vulnerability mapping helped to identify the broad geographical area and related number of districts/municipalities encompassing degraded

[116] Household size and composition DHS, Tajstat, 2017
[117] Tajstat 2020
[118] Based on the analysis of IFAD (2020) using dataset from Bastin et al. 2019 on potential reforestation in the world.
[119] Climate vulnerability index of Tajikistan, IFAD 2021.
[120] Standardized Precipitation Evapotranspiration Index (SPEI) on 18 months. Climate vulnerability index of Tajikistan, IFAD 2021.

agro-ecological zones where the population is highly vulnerable to climate change and suffer from very high levels of poverty.

183. The selection of districts has also considered: (i) overlaying with watershed/river basin boundaries; (ii) adjacency of selected districts to facilitate implementation; (iii) equal representation of the three agro-ecologic zones for inclusion of upstream and downstream communities highly affected by climate change. Below is presented the final list including key socio-economic indicators such as population, households, including percentage of poverty and percentage of FHHs.

#	Oblast	District	Number of jamoats	Number of villages	Population	Households	Women led HH	% FHH	Poverty at district level	Pastures, ha	Crop land, ha
1	Khatlon	Kulob	4	57	116461	14476	1738	12,01	18,8	9376,8	7802,88
2	Khatlon	Sh. Shohin	7	53	46106	6284	388	6,17	15,9	30576,49	9323,92
3	Khatlon	Vose	7	65	189188	21007	3116	14,83	17,8	30291,19	21906,2
4	Khatlon	Baljuvon	5	31	34144	4466	579	12,96	18,8	14282	3628
5	Khatlon	Farkhor	10	80	179604	23471	1403	5,98	16,8	29816,4	22690,72
6	Khatlon	Dangara	8	81	149944	23017	2302	10,00	12,4	42765,66	21837,47
7	Khatlon	Hamadoni	7	59	129414	16707	3250	19,45	19,7	26334	13404,06
8	Khatlon	Khovaling	5	49	49335	6232	436	7,00	25,6	20329	7194,5
9	Khatlon	Temurmalik	6	45	54658	8333	671	8,05	18,6	12582	6666
10	Khatlon	Panj	5	54	105752	18314	1689	9,22	16,4	32297	13104
11	Khatlon	Yovon	8	87	22119	2321	122	5,26	18,7	24486	9196,5
12	Khatlon	A.Jomi	7	72	164405	24421	533	2,18	13,6	24486	9196,5
13	Khatlon	A. Balkhi	7	82	193638	29931	2273	7,59	14,7	23919,83	15863,29
14	Khatlon	Kushoniyon	4	58	110269	12440	884	7,11	18,7	3701	22267
15	Khatlon	Vakhsh	6	105	189996	24803	1700	6,85	17	57000	13124,91
16	Khatlon	Khuroson	6	85	133939	15536	2688	17,30	18,7	24524,56	11015,45
17	DRS	Gisar	10	167	276904	36764	5861	15,94	8,5	15140,92	8446,35
18	DRS	Rudaki	12	155	318834	48192	NA	NA	6,9	66844	23878
19	DRS	Shahrinav	6	80	106296	15045	407	2,71	13	38343	8977
20	Sugd	Zafarobod	5	21	76494	14114	1182	8,37	20,3	816	21919
21	Sugd	Mastchoh	7	38	130813	17639	1753	9,94	34	8536	23320
Total			142	1524	2778313	383513	32975	8,60	15,2	536447,85	294761,75

184. **Selection of Villages**: The CASP+ will target 400 Villages of 21 districts in the regions of Khatlon (16 districts), Sughd (2 districts) and DRS (3 districts). Targeting at village level will be conducted at the beginning of the project in collaboration with relevant stakeholders and taking into account criteria encompassing environmental and climate related challenges, as well as socio-economic indicators, i.e.: population and number of households, also presence of pastures, and for forestry investment also the presence of forest areas.Specific selection criteria have been developed:

CsCAP Investment:

i. Necessary criteria for **Village eligibility** and ranking
   1. Excluding villages with less than 80HH and no more than 700 HH.
   2. Excluding villages with previous/ongoing meaningful intervention providing the community with similar community investments
   3. Excluding villages with less than 1,000 Sheep Units (SU). 1 sheep/goat = 1 Sheep Unit; 1 cow = 0.2 Sheep Unit)[121]
   4. Excluding villages with less than 100ha pasture[122] for their livelihoods

ii. Ranking criteria to select 400 villages:
   1. Sub-catchments vulnerability, based on Climate Vulnerability Index for sub-catchments mapped at design stage.

Specifically for forestry Investment:

iii. Necessary criteria for villages eligible for **Forestry investment include:**
   1. a subset of the AI villages where at least 100 ha of JFM[123] can be implemented over the lifetime of the project.

Villages with no previous/ongoing relevant intervention providing the community with reforestation investments similar to CASP+

185. Validation of selection of villages for AI and FI investments will occur during project implementation, to ensure that the selected villages meeting the necessary criteria above are also meeting qualitative criteria of social sustainability, commitment, gender equality in accessing information and decision etc. it is expected that at least 70% of the community members have been informed about project opportunity and they participate in the community consultation and that 50% are women (attendance list should be provided). It is expected that final agreement to participate in the project is provided by village representatives and 50% are women (attendance list should be provided). Presence of youth in the process will be highly encouraged. Details are described in the PIM (targeting section).

186. **Presence of other interventions in the targeted area and synergies:** Geographic coverage of CASP+ is not excluding districts where other IFAD-funded investments operational (LPDP I and II) as well as other donors' programmes with whom CASP+ may find areas for synergies/complementarity (i.e. the GCF *Smallholder building climate resilience of vulnerable and food insecure communities through capacity strengthening and livelihood diversification in mountainous regions of Tajikistan* implemented by WFP). Interventions in each village and district will be preceded by an evidence-based and participatory review of NRM status and opportunities (Diagnostic Study). The review will highlight specific needs for each village and will produce the evidence for CsCAPs. In turn, this will inform the village level targeting with direct ad hoc investment and technical support provided by the programme.

187. Communities targeted by IFAD-funded interventions that are already receiving support for development of Community Action Plans (CAPs) will not be eligible for complementary support (i.e. not a duplication) to what was previously received. Priority will be given to

[121] average was 2,990 under LPDP 2 and only 5 had less than 1,000
[122] Average was 450 under LPDP 2 and only 5 had less than 100 ha.
[123] Based on 15 Leskhoz having the capacity to implement 500 ha annually for 5 years = 37,500. Divide over 400 villages = 93.75 Ha

communities that have not received such support under previous investments. Those villages are expected to receive the full support package (Including CsCAPs and other programme services). The inclusion will be based on a prior assessment and interventions will be tailored accordingly, including the criteria described above.

188. Furthermore, as part of the support to rural institutions and organizations, the programme will form new PUUs and will also support and strengthen existing ones (formed under previous interventions) in order to enable rural institutions to conduct effective grazing/pasture management planning, including improving their knowledge and awareness on climate change issues and integrated NRM. This represents an additional element, aimed to strengthen communities' capacities to address climate change related challenges in a way to maximize the ecosystem services from the integration of natural resources management.

189. **Selection of Households*:*** After final village selection, a participatory wealth ranking exercise will be conducted at community level to identify the poorest and the better off, following the example of the LPDPII where such exercise was conducted by Aga Khan Foundation (AKF)[124]. The programme will promote services in line with needs of all target groups. Some activities will be of interest for the community as a whole: i.e. Climate Sensitive Community Action Plan (CsCAPs) for productive infrastructures/adaptation and mitigation activities and therefore all members will be mobilised through Village Organisations (VOs), PUUs, and Women Groups (WG) where existing. Targeted activities will be designed for specific groups, especially the poorest and vulnerable ones. Poor and poorest households will be identified and selected through the wealth ranking exercise (which requires validation from the community to avoid elite capture and keep tracking of process transparency) and key criteria related to poverty and vulnerability set for their participation in Farmers Field Schools (FFS), Common Interests Groups (CIGs) and prioritisation for accessing grant financing.

190. Community Facilitators will be in charge to undertake the wealth ranking exercise and trained facilitators will be in charge to train others (ToT) on the application of the methodology. The overall supervision will be under the responsibility if the gender and social inclusion expert of PMU (see ToRs in the PIM). Details for implementation are reported in annex to the PIM and they build on LPDP-II model.

191. **Social inclusion strategy for vulnerable groups:** Gender assessment and stakeholder consultations informed that certain groups in the rural community are socially disadvantaged, particularly poor families, women-headed households and youth, due to their weak social and economic standings.

192. **Youth (14-30**) are largely unemployed, underemployed, and underpaid, and they rank among the working poor. The level of youth unemployment (working age 15-24) is 20.9% (WB, 2020)125. According to the WB (2017) study on addressing challenges to create more and better jobs in Tajikistan, only 43 percent of Tajikistan's total working age population are in the labor force. The majority of those working are in low quality jobs in the informal sector. Moreover, too many jobs in Tajikistan are seasonal or temporary, and their share has increased over time. Women and youth are the least represented in the labor force. Inactive youth, i.e. those who are neither employed nor in school, represent 40 percent of the total youth population, which is high by international standards. While

[124] Consultation with AKF representative during the CN design mission on the validity of the proposed methodology and lesson learned.
[125] World Bank, 2020: https://data.worldbank.org/indicator/SL.UEM.1524.ZS?locations=TJ

youth are more likely than adults to work in private sector wage jobs, almost one third of employed young people are in unpaid (informal) jobs, compared to 15 percent of adults126.

193. For youth, in addition to ensuring their equal access to project information and benefits, particular attention will be paid to promote their engagement in business opportunities in the project supported value chains by proactively including them in business related capacity building activities. It is expected that youth will be 40% participants in CIGs. It is also expected that 25% of common interest groups will be youth-led. Furthermore, ranking criteria for evaluation of grant proposal include priority for youth.

194. Workshops bringing together different parties in the Value Chain will be provided where they will have an opportunity to engage and share information with each other and discuss specific problems within the value chain. This will be done as part of PPP approach and the programme will ensure that this social category (youth and also returning migrants) will be included in any platform/consultation held. In line with activities and programme conducted by the Ministry of Youth and Sport, the programme will also explore coordination with activities and initiatives undertaken at district and village level such as: Young farmers' schools, Young entrepreneurs club and related national competition for innovative ideas. To support youth mobilisation and information the programme will rely on support from existing youth unions and youth committees (districts and village levels) formed and organized under the Ministry of Youth and Sport.

195. **Women headed households**: about 40% of all extreme poor registered in rural and township jamoats in 2015 are women. Of the 30,404 extremely poor households listed in the same table, 11,013 were headed by women, which translates into a 36.2 % share of female-headed households (FHHs) among all extreme poor households. (UNDP, 2016). since they are a vulnerable category and extremely poor, women headed households are expected to be 20% members of FFS and 20% in CIGs. Furthermore, the grant financing schemes include priority for poor households and women headed households. In order to mobilise poor women and very poor households, the project will work in close collaboration with Ministry of Health and Social Protection.

196. **Persons with Disabilities** (PWD): The programme will make extra effort to include PWDs (with focus on women with disability) in its activities through: (i) assessment on activities where PWD can be included; (ii) special awareness sessions at community level to ensure inclusion of PWD in selected activities (ii) priority in accessing grants. The programme will work in coordination with Community Based Organisations (CBOs) already supporting the work of the Social Protection Units (Ministry of Health and Social Protection) to mobilise and engage with PWD and ensure they can be included in CIGs and /or priority for participation be given to families with PWDs.

197. **Targeting:** Similar to the gender strategy above, the project will raise awareness among stakeholders on the risks of potential exclusion of the disadvantaged groups and importance of inclusive approach, and ensure their informed participation through a set of specific actions.

[126] Tajikistan: Addressing Challenges to Create More and Better Jobs, WB 2017
available at https://www.worldbank.org/en/country/tajikistan/publication/tajikistan-addressing-challenges-to-create-more-and-better-jobs

198. Selection will be conducted in a series of steps as follows: (i) mobilisation campaign to present the programme; (ii) wealth ranking exercise conducted by the Community facilitators (CF) including support from local CBOs, given their knowledge of poorest and disadvantaged households, especially recipients of social aid, pensions and also PWD; (iii) involvements of the local community leaders/committee to validate the proposed beneficiaries and avoid risk of elite capture; (iv) verification by programme staff through physical visits to the households and checking the community validation process (minutes of meetings and other documentation provided to ensure process is transparent and records are duly kept as part of M&E requirements including the way potential complaints are addressed during the process). Specific selection criteria to prioritize poor and disadvantaged household in grant financing have been elaborated and are presented below.

Description of Target Groups and programme opportunities

Target Group	**Key Characteristics**	**Major Challenges**	**Opportunities under CASP+**
Poor households (including Women and WHHs) 26.3 Poverty national level (10% extreme poverty). 20% WHHs total national population	• Households below poverty line • Subsistence farmers with household plots ('kitchen gardens' of about 0.2 ha) and a small number of animals (1-2 cattle, 5-10 small ruminants) • Work as labourers on others' farm • WHHs, including those headed by 'abandoned wives' • Women and WHHs ranking among the poorest (40% of those registered among poorest are women). • Receiving assistance from National Aid schemes	• Food insecurity and malnutrition • Low production/productivity due to negative effects of CC. • Decrease of income due to a drop of remittance • Lack of productive infrastructures/connectivity to market • Women lack representation in decision-making bodies.	• Empowerment through participation in VOs/PUUs and its CsCAP process. • Improved well-being through access to community (social and productive) infrastructure • Opportunities for cash income through income generation activities, • Leadership training and representation for women • Access to livelihood diversification and value chain grants
Transitory Poor HHs (subsistence and semi-subsistence farmers producing surplus)	• Smallholder farmers with access to land beyond household plots through leasing arrangements (about 1 ha) • Vulnerable to fall back into poverty • In possession of about 5 cattle and 15-20 small ruminants, that graze on community pasture land • Family *dekhan* farms with similar size of productive resources (land and livestock)	• Low farm productivity due to lack of access to mechanized power, irrigation, seeds and other inputs and marketing opportunities • Vulnerable to climate and price shocks • Decrease of income due to a drop of remittances	In addition to the above: • Increased productivity and farm efficiency from productive infrastructure and farm mechanization (CSCAPs) • Higher cash income through participation in CIGs and linkages with Private Sector • Higher production capacity through PFS and FFs. • Access to grants for commercialisation and agribusiness development targeted at individuals groups with enough economic-

Target Group	Key Characteristics	Major Challenges	Opportunities under CASP+
	• Work as labourers on others' farm • No assistance from national aid schemes (full productive capacity)		productive capacity to apply for a matching grants
Unemployed and under employed rural youth	• No agricultural land or livestock • Assist parents' or relatives' farming • Some with relatively good level of education	• Difficult entry to farming due to lack of access to land • Sharp decrease in migration opportunities • Lack of knowledge related to farming as a business/agribusiness opportunities along VCs	• Empowerment and learning of leadership and organizational management through participation in VO/PUUs and its CsCAP process. • Access to vocational training opportunities, including business development and access to start up packages through grants (both livelihood and commercialisation)
Returning migrants	• Developed technical capacity abroad • Some have also good education and can be innovative • Some access agriculture inputs and have commercial orientation	• Lack of job opportunities and access to BDS. • Lack of information/connection with agribusiness platforms and actors from private sector.	• Access to business development services and enterprise development training and linkages with financial services; • Inclusion into dialogue/consultation Knowledge sharing at community level and with actors from Private Sector • Grant Scheme commercialisation and agribusiness
People with Disability (PWD)	• Ranking among the poorest • Rely exclusively on income from social pension (very low) • Social stigma and marginalisation • Women faced double marginalisation and discrimination	• Difficulties in identification of suitable jobs, • negative attitudes and lack of education and skills	Assessment of activities for PWD awareness sessions targeting communities to ensure inclusion of PWD in identified training (IGA) • Special trainings to support self-employed PWD along activities they can perform. • Access to grants

Eligibility Criteria and Conditions for Participation

Eligibility Criteria

Any organization/institution in targeted villages intending to access assistance through the MGF should meet any of the criteria listed below.

General criteria and conditions:

- The applicant is a Tajik national
- Is older than 18
- Be resident in the beneficiary village

- Relying on agriculture as main income
- Being an individual or CIG member trained under CASP+
- Pay a cash contribution of 10% for Window 1 and 20 % for Window 2.
- For Window 1 the application must be below the national poverty line on monthly consumption of less than TJS162 for poor and less than TJS230 for vulnerable.

Criteria for assessing applications

For group application:

- The highest percentage of women participating in each group application.
- Number of persons receiving national aid assistance per group application.
- Percentage of youth participation within each group application.
- Percentage of PWD within each group application.

For individuals

- Registered in the registry (Ministry of Health and Social Protection) for social assistance as extremely poor
- Women head of household (priority) below poverty line
- Families with PWD in the family
- Youth-led poor family

Criteria for funding

- Improving climate change adaptation and mitigation
- Enhance farmers resilience to CC through Income generating potential
- Improving environmental conditions through livelihood diversification (for reducing pressure on degraded environmental/natural resources)

Expected target for individuals

- Disaggregation: 25% applicants youth
- 50% applicants women
- 20% applicants women headed households.

Expected target for groups

- 30% women-led groups
- 20% youth-led groups

General conditions for participating in Windows 1 and 2

1) Involvement in agriculture/livestock/horticulture production, and/or rural agribusiness-processing, input supply, technical services delivery, cold storage
2) Operating in the value chains of commodities supported by CASP+
3) Providing or intend to provide services such as inputs support services, market access, technical services, financial/credit support services to smallholder farmers/producers and/or their groups.
4) Has undertaken training in Farming as a Business or show commitment to undertake Farming as a business if required
5) Financial viability or demonstrated ability to become financially viable with the support of the MGF

Appendix 2: Institutional analysis and Relevant Environmental, Health and Safety Laws in Tajikistan[127]

Alignment with existing policies such as NDCs, NAMAs, and NAPs

199. The current project is aligned with the existing policies and priorities of the country given that the GoRT prioritises of reducing the country's vulnerability to climate change via adaptation and increased resilience. Tajikistan has developed a National Development Strategy, which defines socio-economic development priorities for the country until 2030. This strategy integrates climate change needs, disaster risk reduction, and social inclusiveness, specifically focusing on gender-based development. CEP has also prepared a Country Programme for the GCF (2019 – 2021)128 in order to define short-term and long-term investment priorities for the GCF in Tajikistan. There are five Strategic Pillars defined by the Country Programme where GCF investments are needed: I) Agriculture and Forests; II) Transport; III) Energy; IV) Water resources; V) Cross-sectoral areas of activity (Education, Public Health Services, and Migration). The current project is focused on the first pillar and to some extent on developing the water resources of the country. The project will focus on the pasture and forestry sectors where development has lagged behind. While the country has a pasture law, it needs assistance in building technical capacity at the national level for green investments, enhanced adaptation policy and planning, improved capacity for disaster risk reduction and improved pasture and forestry development and management. The Government is committed to forest renewal, conservation and sustainable management, contributing to climate change mitigation. However, while there is an up-to-date forestry legislation it is not being implemented as a result of lack of capacity and financial resources. Its other objectives are to maintain biodiversity, improve the livelihoods of local people and leverage public and private finance.

200. CASP+ investments provide incentives for the government to take action and implement a range of policies and strategies designed to reform and strengthen natural resource management. Responding to country and stakeholders needs, CASP+ builds on successful ongoing and past practices and is designed to mobilize climate finance (GCF and IFAD) to address the national climate change adaptation and mitigation goals in line with the national commitments and strategic framework on climate change, natural resources management, disaster risk reduction and SDGs.129 Besides supporting the Updated Nationally Determined Contribution (2021),130 the National Disaster Risk Reduction Strategy (2019-2030), and the National Climate Change Adaptation Strategy 2030, the project will contribute to operationalize and strengthen the execution of key government priorities outlined below.

201. CASP+ is aligned to the updated NDC. Unlike country's original NDC, the Updated NDC includes the changes in an unconditional greenhouse gas (GHG) emissions reduction goal for 2030 and a conditional GHG emissions reduction goal[131]. Additionally, the focus on adaptation has been strengthen. The Updated NDC is significantly improved by involving a broader scope of the participants from line ministries, academia, international

[127] Ministry of Health and Social Protection & the Asian Development Bank, Initial Environmental Examination, 2018. https://www.adb.org/sites/default/files/project-documents/51010/51010-002-iee-en.pdf
[128] Tajikistan Country Program for Green Climate Fund – (GCF) 2019-2021. June 2019.
[129] SDG 1, SDG 2, SDG 5, SDG 12, SDG 13, SDG 15
[130] The 2021 updated NDC is available on the UNFCCC website: https://www4.unfccc.int/sites/ndcstaging/PublishedDocuments/Tajikistan%20First/NDC_TAJIKISTAN_ENG.pdf
[131] The unconditional contribution (NDC) of reducing greenhouse gas emissions in Tajikistan is not to exceed 60-70% of greenhouse gas (GHG) emissions as of 1990, which is the reference year, by 2030. The conditional contribution (NDC), subject to a significant international funding and technology transfer, is not to exceed 50-60% GHG emissions as of 1990 by 2030.

organizations, donors, nongovernment organizations, business representatives and media, and their continued support during the implementation process is appreciated. Taking into account its national circumstances, the Republic of Tajikistan offers the ambitious targets and measures to achieve the transition to a low-carbon and climate-resilient development in a sustainable manner. The Republic of Tajikistan is keen to achieve a progress towards implementing the Sustainable Development Goals (SDGs) at national level by mainstreaming the focus of Agenda 2030 into the Updated NDC. NDCs' revision process involves five key sectors identified as priorities for Tajikistan, of which two are under CASP+ in addition of the key cross-sectoral areas: agriculture, forestry & biodiversity. More information on these 3 key sectors and the opportunities for alignement of CASP+ are presented in Annex 2 of the GCF proposal[132].

202. General guidance for coordinating activities on climate change adaptation of sectoral ministries and departments is led by the Committee for Environmental Protection (CEP) under the Government of the Republic of Tajikistan. In accordance with the governmental decree, the Committee is responsible for the implementation of the National Strategy for Adaptation to Climate Change of the Republic of Tajikistan for the period until 2030. Moreover, the CEP is also the National Designated Authority (NDA) to the Green Climate Fund (GCF). By working directly with the CEP with GCF financing, the project will support Tajikistan in achieving NDC's goals via improved access to new technologies and enhanced capacities. Moreover, by mobilizing IFAD funds jointly with the proposed GCF financing, the project will contribute to fill the resource gap mentioned in the NDCs, both from donors and government sides.

203. At the "macro" level, among the different action areas of Tajikistan's National Development Strategy of the Republic of Tajikistan for the period up to 2030 and objectives of the Mid-Term Development Programme of the Republic of Tajikistan for 2016-2020, are the promotion of agrarian and water reform and increased access to resources and ensuring their rational use. A major reform is the **Water Sector Reform Programme of the Republic of Tajikistan for 2016-2025**, where hydrological, rather than administrative, boundaries now demarcate "management areas". The Agriculture Reform Programme 2012-2020 addresses a range of issues pertaining to strengthening the enabling environment for ensuring food security, while noting the inefficient use and management of natural resources, imperfection of land relations in the agrarian sector and weak irrigation systems.

204. The **Agriculture Reform Programme 2012-2020** (ARP) was adopted by the governmental resolution No 383 of 1st August 2012, and covers a wide range of issues. A key element of this Programme is the institutional reform of the Ministry of Agriculture[133]. This Reform Programme also identifies priorities for adaptation to climate change, including, among other activities, the scaling-up of successful practices in Joint Pasture and Forest Management with a focus on rehabilitation, conservation, and rotational use. It does not refer to the Strategy on Adaptation to Climate Change, because this was prepared after the Agricultural Reform Programme; the Adaptation Strategy does, however, clearly refer to the Agricultural Reform Programme. The **Water Sector Reform Programme of the Republic of Tajikistan for 2016-2025** details proposed water sector reforms in all

[132]GCF Annex 2 Feasibility Study Community-Based Agriculture Support Programme 'Plus' - Chapter I: Climate Change Impacts And Climate Vulnerability Analysis - V. Recommendations to enhance resilience to climate change in Tajikistan - A. Opportunities for alignment with the updated NDCs

[133] Ministry of Agriculture of the Republic of Tajikistan. September 2012. Programme for Reforming the Agriculture Sector of the Republic of Tajikistan for 2012-2020.

sub-sectors related to water use. These are based on the principles of Integrated Water Resources Management (IWRM) and focus on taking into account social, economic and environmental interests through sustainable and balanced management and development of water resources. As an integral part of IWRM, the Water Sector Reform Programme introduced the river basin management approach to water resources management as one of the main principles of the water sector reform. This is supported by institutional reforms to the water sector, which addresses structural changes to current water sector organizations, and the establishment of new organizations at national, basin and sub-basin levels[134]. Tajikistan's **Strategy for the Development of the Forestry Sector for the period 2016–2030** is currently considered to be in draft format, as it has not yet been approved by the Government of Tajikistan. Hence, while the Strategy was developed in 2015, the last draft version will be revised[135].This Strategy will be the basis for both sustainable forest management and for the successful integrated development of the entire forest sector[136]. The main objective is to undertake reforestation and afforestation activities together with measures to limit pressures associated with unsustainable livestock grazing. The Strategy also looks to enhance natural forest regeneration potential, and establish industrial fuelwood plantations in areas less favourable for grazing and which are closer to villages, in order to reduce illegal firewood collection[137].

205. The **Comprehensive Program for the Development of the Livestock Sector in the Republic of Tajikistan for 2018-2022** focuses on the development of the livestock sector, covering a range of zootechnical, biotechnological and economic measures aimed at growing, preserving and increasing the number of cattle, poultry, bees, fish, and their breeds, including through breeding for high-yielding livestock. This Programme also includes pasture improvement, recognizing that this is essential for the country's food security, as pastures are the main source of food for animals, and provide up to 60-70 percent of their annual demand. Therefore, quality improvement, productivity, correct and rational use of pastures are key factors identified for improving the livestock sector[138]. Mainly implemented through programmes, the **Pasture Development Programme for Tajikistan 2016-2020** is ongoing. This Programme aims at supporting the rolling out of the institutional mechanisms institutionalized by the Pasture Law – Pasture User Unions (PUUs), Pasture Commissions and Pasture Management Plans.

206. Climate change is expected to increasingly impact productive sub-sectors in agriculture. The **National Development Strategy 2015-2030**, in its efforts jointly with the **Mid-Term Development Programme (2016-2020)** to promote increased access to resources and ensuring rational and sustainable use of agricultural land and water. Key elements of Tajikistan's **National Strategy on Adaptation to Climate Change of the Republic of Tajikistan for the Period Until 2030** are the risks associated with climate change and adaptation measures, and reducing the consequences of these risks for the population and key sectors of the economy. The Strategy therefore identifies adaptation needs and options by sector, favouring cross-sectoral adaptation options such as IWRM and ecosystem-based adaptation. The range of sectors addressed include agriculture, water and environment, but also social issues, such as gender and vulnerable groups. The

[134] Government of the Republic of Tajikistan. 2015. Water Sector Reforms Programme of the Republic of Tajikistan for 2016-2025.
[135] Personal communication with CEP/Forestry Agency, August, 2020.
[136] FAO and UNECE. 2019. Overview of the State of Forests and Forest Management in Tajikistan.
[137] UNECE. 2017. Environmental Performance Reviews. Third Review Synopsis.
[138] Government of the Republic of Tajikistan Resolution dated March 27, 2018, No. 160 On the Comprehensive Program for the Development of the Livestock Industry in the Republic of Tajikistan for 2018-2022.

three goals of the Strategy are to reduce the vulnerability of: the most vulnerable groups of the population, priority sectors and cross-cutting areas to climate change and extreme climate events; identify investment priorities for adaptation; and design, implement, monitor, and assess climate risk management and adaptation measures for reducing current and future vulnerability to climate change and extreme weather events.

207. In the Medium-Term **Development Program of the Republic of Tajikistan for 2021-2025 (MDP 2021-2025),** adopted by the Government of the Republic of Tajikistan on April 30, 2021, under Decree No. 168, a special section is devoted to environmental protection, climate change and natural disasters. The adoption of NSACC strengthens the mechanisms for deploying capacity building processes on climate change adaptation of employees of authorized bodies and civil servants. Furthermore, the development of gender-sensitive indicators for climate change were noted as adaptive measures. Within the framework of this program, sectoral measures for adaptation to climate change have been formulated.

208. With technical support from FAO, MoA has recently formulated the **National Agricultural Investment Plan (NIP) for Sustainable Agriculture Development and Food Security 2021-2030**. The NIP defines investment priorities for public and development partners, as well as measures to unlock private sector investments for food and nutrition security and sustainable agriculture. These include investments in forestry, pasture, livestock intensification.

209. The **2003 National Action Plan for Climate Change Mitigation** outlines the priorities and measures to be undertaken by the Republic of Tajikistan to address the problem of climate change; develop the capacity for further research and analysis of the climate system, its variability and change; and strengthen international cooperation and joint efforts to mitigate climate change. The measures indicated in the National Action Plan serve as a basis for planning and decision making at all state levels and in all relevant sectors. This Action Plan is outdated, although in 2021, Tajikistan submitted its Updated Nationally Determined Contribution (NDC).

210. **Laws, Policies, and Institutional Mechanisms to Promote Gender Equality**: Equality between men and women is provided under Tajikistan's constitution and enforced in legislation. No laws or regulatory provisions discriminate against women. The National Strategy for Enhancing the Role of Women in the Republic of Tajikistan, lists concrete actions to improve women's participation in education, the labor market, entrepreneurship, and in politics, albeit without identifying responsible agencies, timeframes with milestones, funding sources, and monitoring plans.

211. Equal rights and opportunities for men and women are also codified in the 2005 Law on State Guarantees of Equal Rights for Men and Women and Equal Opportunities in the Exercise of Rights. Gender-related priorities are reflected in sector policies on education, health, social protection, and agricultural development. Notwithstanding these initiatives, implementation and enforcement is weak, given limited funding. Tajikistan has ratified the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW) in 1993 and its Optional protocol in 2014, as well as the International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families in 2002.

212. The primary institution responsible for gender policy is the **Committee for Women's and Family Affairs** (Women's Committee), which has diverse functions

ranging from conducting research to considering complaints from citizens, promoting women's rights through the media, monitoring international standards compliance, coordinating the work government and nongovernment bodies do on gender equality, and training. The Women's Committee operates 110 regional information-consultation and crisis centres throughout the country, funded through local budgets. A network for gender mainstreaming also links seven ministries and agencies, including the Women's Committee.

213. **Ministry of Health and Social Protection (MHSP):** Major decisions about social protection are made by several ministries and departments operating at the central level. The main government bodies involved in social protection policy design, implementation and monitoring are the Ministry of Health and Social Welfare, the Ministry of Labour, Migration and Employment (MLME) and the ASIP.

214. The administration of social protection is divided by the State Agency for Social Protection (SASP, a specialized agency within the Ministry of Health and Social Welfare) and the ASIP (a direct subordinate agency of the central government). The former is responsible for the administration of social assistance schemes, the latter for social insurance programmes.

215. The Ministry of Health and Social Protection develops and submits proposals to improve state social protection policy. Develops state social protection programmes for the poor and oversees their implementation. Plans the budget of the Targeted Social Assistance (TSA) programme. Monitors the implementation of health and social protection legislation. Together with the government and local executive bodies, it is responsible for the creation and development of a network of integrated and specialized, state, regional, local and other social services. Provides guidance and control over the activities of social services, including social service facilities. Develops and maintains social service standards. The Targeted Social Assistance (TSA) programme is an unconditional cash transfer where beneficiaries are identified through a proxy means test (PMT). The TSA programme is expected to fully replace the ongoing schemes by 2018. Its objective is to improve the living conditions of the most vulnerable by providing overarching support to families instead of delivering transfers for specific purposes. A further objective is to enhance the capacity of government at all levels to achieve more efficient management and administration processes in social protection programming. The TSA programme is managed by the Ministry of Health and Social Protection (MHSP) and is currently in place in 40 districts. It replaced the cash compensations for education and energy, which are still provided in the remaining 28 districts.

216. Among others, the MHSP is responsible for the implementation of a 5-year National Strategic Plan for the Rehabilitation of People with Disabilities which was developed and validated by the Presidency in 2016. In 2017 a Plan of Action in line with strategic objectives and international standards was developed to support the implementation of the national strategy for PWD.

217. The table below lists the relevant environmental, health and safety laws in Tajikistan.

Table 6: Relevant Environmental, Health and Safety Laws in Tajikistan

Law	Enacted and Amended	Responsible Agency	Brief Description
Law on Environmental Protection	August 2, 2011, No.760	Committee on Environment Protection and its subdivisions at the districts	The Law defines legal state principles of environment protection and aimed at provision of sustainable social and economic development, guarantees of human rights for healthy and friendly environment, law enforcement strengthening, prevention of negative impact of business and other operations on the environment, management of rational use of nature resource and securing environmental safety. Chapter 6 requires an Environmental Impact Assessment and Chapter 7 specifies requirements for the location, design, construction, reconstruction and commissioning of enterprises, buildings and other facilities
Law on Environmental Impact Assessment	18.07.2017 No.1448	Committee on Environment Protection and its subdivisions at the districts	The Law establishes the legal and organizational framework for assessing the environmental impact, relationship with state environmental expertise, and the procedure for registering and classifying impact of assessment objects on the environment.
Land Code	Enacted in 1996, last amended in 2016	Committee on Land Management and Geodesy of the Republic of Tajikistan and its subdivisions at the districts	Land legislation governs the relations of land use and protection, land use property relation which arise from getting (acquisition) of convey land use rights.
Law on Special Protected Areas	Enacted in 26.12.2011, last amended in 2014	State Institution on Specially Protected Natural Areas of Forestry Agency under the Government of the Republic of Tajikistan and its subdivisions in the districts	The Law defines legal, organizational and economic principles of specially protected natural areas, establishes the assignments, activity operations and zoning
Law on Plant Protection	Enacted in 16.04.2012 No. 817	Committee on Environment Protection and its subdivisions at the districts Ministry of Agriculture Forestry Agency under the Government of the Republic of Tajikistan Academy of Sciences	The Law defines legal, organizational and economic principles of plants and agricultural commodities protection from pests, diseases and weeds.
Law on Protection and Use of Plants	Enacted in 17.05.2004, last amended in 2008	Committee on Environment Protection and its subdivisions at the districts Ministry of Agriculture	The Law establishes state policy of the Republic of Tajikistan on protection and efficient use of plants, defines legal, economic and social principles of the field and aimed preservation and reproduction of plants

Law	Enacted and Amended	Responsible Agency	Brief Description
		Forestry Agency under the Government of the Republic of Tajikistan Academy of Sciences	
Forestry Code of the Republic of Tajikistan	Enacted in 2.08.2011	Forestry Agency under the Government of the Republic of Tajikistan Committee on Environment Protection and its subdivisions at the districts Ministry of Agriculture	Regulates relations for protection, possession, sustainable use & reproduction of the forest in Tajikistan. Defines prohibited activities in protected forest zones & their regimes &conditions when undertaking allowed activities in the utilization zone forests & their regimes.
The Law on Conservation and Usage of the Historical and Cultural Heritage	Enacted in 03.03.2006	Ministry of culture of the Republic of Tajikistan Academy of Sciences of the Republic of Tajikistan Committee on Environment Protection under the Government of the Republic of Tajikistan Forestry Agency under the Government of the Republic of Tajikistan	The Law regulates legal framework on conservation and use of historical and cultural heritage objects at the territory of the Republic of Tajikistan and being national property of Tajik people.
Law on Subsoil	Enacted in 20.07.1994, last amended in 2013	Geology Head Office under the Government of the Republic of Tajikistan Committee on Environment Protection under the Government of the Republic of Tajikistan	Regulates relations concerning the use & protection of subsoil in the interests of present and future generations.
Law on Soil Conservation	Enacted in 16.10.2009	Committee on Environment Protection under the Government of the Republic of Tajikistan Committee on Land Management and Geodesy of the Republic of	The law defines main principles of state policy, legal framework of public authorities, individual and legal entities for the efficient and safe use of soils, preservation of quality, fertility and soil protection from negative impacts and regulates the variety of relationship related to soil protection

Law	Enacted and Amended	Responsible Agency	Brief Description
		Tajikistan Ministry of Agriculture	
Water Code	Enacted in 20.10.2000 last amended in 2012	Committee on Environment Protection under the Government of the Republic of Tajikistan - Ministry of Energy and Water Resources of the Republic of Tajikistan Ministry of Agriculture Geology Head Office under the Government of the Republic of Tajikistan Ministry of Health of the Republic of Tajikistan	The aims of Water Code of the Republic of Tajikistan are protection of state water fund and state water fund lands for the improvement of population social condition and environment, water pollution control, impurity, depletion, prevention and control of water adverse effect, enhancement and protection of water objects, strengthening legality and rights protection of individual and legal entities in water management field.
Law On Protection of Atmospheric Air	Enacted in 1995 and amended in 2012 Enacted in 28.12.2012	Committee on Environment Protection under the Government of the Republic of Tajikistan Ministry of Health of the Republic of Tajikistan Hydrometeorology Agency	The Law regulates relations of individual and legal entities irrelevant of ownership form with an aim of conservation, rehabilitation of atmospheric air and securing of environmental safety
Public Health Code of the Republic of Tajikistan	Enacted in30.05.2017	Ministry of Health of the Republic of Tajikistan	The Code regulates public health relations and aimed at implementation of constitutional rights and health protection of citizens. Chapter 17 of the Code secures sanitary and epidemiological safety
Law on Production and Consumption Waste	Enacted in 10.05.2002, last amended in 2011	Committee on Environment Protection under the Government of the Republic of Tajikistan Ministry of Health of the Republic of Tajikistan State Unitary Enterprise on Municipal Housing and Utilities of the Republic of Tajikistan	The Law regulates the relations arising in the process waste generation, collection, storage, utilization, transport, deactivation and landfilling of wastes, state management, supervision and control of waste management and is aimed to prevent the negative impact of production and consumption wastes on the environment and human health when handling with them, their involvement into economic and production turnover as an additional stock source.
On Protection of Population and Territories	Enacted in 15.07.2007	Committee for Emergency Situations and Civil Defence	The Law defines organizational and legal framework on protection of population of the Republic of Tajikistan and persons without citizenship at the territory of the Republic of Tajikistan, as well as the

Law	Enacted and Amended	Responsible Agency	Brief Description
from Natural and Man-Made Emergencies		under the Government of the Republic of Tajikistan and its structural subdivisions	lands, interiors, water, airspace, animals and plants and other natural resources of Tajikistan, objects of industrial and social purpose and environment from natural and man-made emergencies. Regulates public relations on prevention, occurrence and development of emergencies, reduction of damages and losses, elimination of emergency situations and timely notification of population in dangerous zones on natural and man-made emergencies.
Law on wildlife	Enacted in 05.01.2008	Committee on Environment Protection under the Government of the Republic of Tajikistan Ministry of Agriculture Academy of Sciences of the Republic of Tajikistan Forestry Agency under the Government of the Republic of Tajikistan	The Law regulates public relations in protection, restoration and reasonable use of wildlife, establishes legal, economic and social framework of the field and is aimed at protection and restoration of wildlife resources.
Law on Labor Protection	Enacted in 19.05.2009	Ministry of Labor, Migration and Employment of the Republic of Tajikistan, Ministry of Health of the Republic of Tajikistan	The Law establishes legal framework of labor protection relations between employers and employees and is aimed at creation of conditions that meet the requirements of employees lives and health preserving gin the work process.
Labor Code of the Republic of Tajikistan	Enacted in 23.07.2016	Ministry of Labor, Migration and Employment of the Republic of Tajikistan Ministry of Health of the Republic of Tajikistan	The Code regulates labor and other relations directly aimed at them, protection of the rights and freedoms of the parties of labor relations, securing minimal guarantees of labor rights and freedoms.
Law on Fire Safety	Enacted in 20.04.2008la st amended in2010	Main Department of State Fire Prevention Agency of the Ministry of Internal Affairs of the Republic of Tajikistan	The Law defines general legal, economic, social and organizational principles of fire prevention in the Republic of Tajikistan, regulates the relations between state authorities, local authorities, organizations, other legal entities irrelevant of organizational and legal forms, as well as between public amalgamations, officials and citizens of the Republic of Tajikistan, foreign citizens and persons without citizenship

218. During the concept note and the full design stages, a stakeholder mapping was done in order to ensure that the consultation process is inclusive and aligned with national policies. In addition to line ministries, the following are the main stakeholders mapped at this stage with the methods of engagement that are included in CASP+ budget:

Stakeholder	Link to CASP+ Components	Method of Engagement
The Committee for Environmental protection (CEP)	Component 1, 2, 3	CEP is the GCF's National Designated Authority (NDA) and an executing agency of the project. Coordination with CEP will be extensive and will include sub-components that are executed by the SEPMU. Coordination will also be for IFAD-funded activities not only GCF-funded activities.
Food and Agriculture Organisation (FAO)	Component 1, 2, 3	FAO is a co-financier of CASP+ on outputs 1.1, 1.2 and 3.1. Like CEP, coordination with FAO will be extensive. In addition, potential synergies between CASP+ and ongoing FAO projects will be identified.
Pasture Meliorative Trust (PMT)	Component 1, 2	CASP+ will strengthen the capacities of the PMT in order to help it fulfil its mandate of enforcing the Pasture Law and providing technical assistance to PUUs, PUAs and PCs. The PMT will also pasture management investments and will support the implementation and monitoring of Pasture Management Plans (PMPs) planned under component 2.
Pasture Users Union (PUU)	Component 1, 2	In addition to their engagement in the activities related to the PMT, the PUUs will play a major role in monitoring NRM. The PUUs will send quantitative and qualitative data on pasture management to the PMT and the Land Geodesy department. After verification of the data, it will then be shared with the Remote Sensing Unit of CASP+, housed at CEP. Under component 2, the project will also help with the establishment and registration of PUUs.
Pasture Users Associations (PUAs)	Component 1	CASP+ will strengthen the capacities of the PMT in order to help it fulfil its mandate of enforcing the Pasture Law and providing technical assistance to PUAs. The PMT would then help the PUAs through helping in the roll out of community-based pasture governance mechanisms and providing training and technical backstopping. CASP+ will ensure that PUAs are consulted in activities related to PMT.
Pasture Commissions (PCs)	Component 1	CASP+ will strengthen the capacities of the PMT in order to help it fulfil its mandate of enforcing the Pasture Law and providing technical assistance to PCs. The PMT would then help the PCs through helping in the roll out of community-based pasture governance mechanisms and providing training and technical backstopping. CASP+ will ensure that PCs are consulted in activities related to PMT.

Stakeholder	Link to CASP+ Components	Method of Engagement
Tajik Agrarian University (TAU)	Component 1, 3	CASP+ will provide technical assistance to TAU to integrate climate change aspects in a new Master's curriculum that the University intends to develop, to complement the existing Bachelor's programme on Pasture Management developed with the support of IFAD's LPDP. The project will provide technical expertise for the development of the masters curriculum, but also financial support to cover the costs related to the international accreditation of the curriculum. The project will also partner with TAU as well as SEABAI to provide training for 50 young technicians on AI.
Tajik Academy of Agricultural Science (TAAS)	Component 1	CASP+ will provide technical assistance to TAAS to develop new education curricula for training of climate change specialists, and for the review of existing post graduate curricula for agronomists, foresters, zootechnicians and veterinarians, to streamline ecosystem management and climate change aspects in the tuition programs.
Forest Research Institute	Component 1	Alongside TAU and TAAS, the Forest Research Institute will receive financial support to to (i) develop climate sensitive technical innovations that will be disseminated at community level in the scope of extension activities (demonstration plots and FFS), and to (ii) generate evidence and lessons learnt on climate smart practices for feeding in policy dialogue. CASP+ will launch bi-yearly calls for proposals and research projects that are in line with the project strategy.
State Enterprise for Capacity Development	Component 1, 3	CASP+ will build on climate resilient technologies and innovations that have been tested, adapted and validated by research institutions under Component 1 through field demonstrations established in partnership with the State Enterprise for Capacity Development who already has some demonstration sites in the field.In order to allow farmers to access these demonstrations, field days will be organized and facilitated by the State Enterprise for Capacity Development. An MoU will be signed for this purpose.
National Veterinary Authority	Component 1	CASP+ will assist the National Veterinary Authority in providing veterinary public health services such as disease surveillance and vaccination against Transboundary Animal Diseases Zoonoses through an annual contribution to the purchase of vaccines and provision of technical assistance and equipment for the surveillance system.
Tajik Veterinary	Component 3	CASP+ will support TVA to help establish a private

Stakeholder	Link to CASP+ Components	Method of Engagement
Association (TVA)		veterinary service. The project will sign an MoU with TVA. TVA's responsibility will include the replication of training programmes to other regions of Tajikistan, the development of district veterinary associations, and the preparation of the conditions for establishing a Veterinary Statutory Body in the country in accordance with the OIE's recommendations. TVA will also be responsible for the development of a system of continuing veterinary education, for which the project will provide payment for 1 staff unit of a specialist on veterinary education. Furthermore, the TVA will actively participate in the selection of veterinarians for their participation in project activities in the field.
State Enterprise for Animal Breeding and Artificial Insemination (SEABAI)	Component 1, 3	CASP+ will improve the outreach of breeding services provided by SEABI to areas and communities targeted by the project through the provision of additional equipment. The project will also partner with SEABI and TAU to provide training for 50 young technicians on AI.
Agency for Land Management, Geodesy and Cartography	Component 1	As part of remote and participatory natural resources monitoring and management, the project will build strong linkages between the Agency for Land Management, Geodesy and Cartography of the Republic of Tajikistan and CEP who are responsible for preventing further land degradation to ensure smooth flow of information.
National Platform for Climate Change Adaptation	Component 1	CASP+ will support this platform through policy briefs and workshops for the integration of policy in climate policy processes such as the NDC enhancement process, the GCF Readiness projects and the NAP process
Donor Coordination Council (including development partners)	Component 1, 2, 3	CASP+ will support the Donor Coordination Council through policy briefs and knowledge management as well as coordination with other ongoing projects seeking synergies during implementation. CASP+ will cooperate with other donors as well as other development partners to ensure that CASP+ can complement ongoing efforts.
Ministry for Economic Development and Trade (MEDT)	Component 1	In collaboration with MEDT, CASP+ will carry out analyses of agro-industry activities from a Green Economy perspective and hold a validation workshop with all stakeholders. MEDT will also receive capacity development on Green Economy concepts by CASP+.
Productive Alliances	Component 3	CASP+ will identify and create 17 Productive Alliances between groups of smallholder farmers

Stakeholder	Link to CASP+ Components	Method of Engagement
		on the one hand, and private sector actors, in particular aggregators and processors on the other hand, to enable mutually beneficial business partnerships on selected livestock value chains (dairy, poultry and beef). The project will also strengthen the technical and business capacities of producers in the Productive Alliances.

Appendix 3. Guiding questions for environment, social and climate risk screening

IFAD classifies all programmes into one of three environmental and social categories (A, B or C) and one of three climate risk classifications (high, moderate and low). Where IFAD is jointly financing a programme with other agencies, IFAD will cooperate with the partner agency and agree on a common approach for the assessment and the categorization of the programme.

Determination of the category and classification will also depend on the national requirements and the existing national capacity to promote and implement environmental and social mitigation measures. The determination is informed by existing assessments of national frameworks and capacities.

A positive response to any question between 1 and 22 (see questions below) will categorize the programme as A. Similarly, a positive response to question 23 to 38 will categorize the programme as B. In case all answers are negative, the programme will be categorized as C.

This list of questions can be used at different stages of the programme design and should be used in conjunction with the respective guidance statements.

The checklists for environmental and social and climate risks will:

1. initially be filled in during concept development to help guide in the identification of opportunities and possible risks and activities that will need to be considered in the programme design;
2. be attached to the Social, Environmental and Climate Assessment Procedures (SECAP) review note; and
3. be reviewed during programme design phases and updated as required.

Programme title:	**Community-based Agriculture Support Programme (CASP+)**		
IFAD project no.:		**Version of checklist:**	**2**
Country:	**Tajikistan**	**Date of this version:**	**08/06/2021**
Checklist prepared by (name, title and institution)	**Renaud Colmant, Environment and Climate Programme Officer, NEN/ECG, IFAD**		

In completing the checklist, both short- and long-term impacts should be considered. This list of questions can be used at different stages of the programme cycle and should be used in conjunction with the respective guidance statements. Capitalize on information based on reports and field visits during design. The details of the elaboration on issues that arise as a result of screening should be clearly articulated in the SECAP review note.

Guiding questions for environment and social screening	Yes/no	Comments/explanation
Category A – the following may have significant and often irreversible or not readily remedied adverse environmental and/or social implications.		
Project location		
1. Would the project develop any wetlands? (Guidance statement 1)	No	
2. Would the project cause significant adverse impacts to habitats and/or ecosystems and their services (e.g. conversion of more than 50 hectares of natural forest, loss of habitat, erosion/other form of land degradation,	No	

fragmentation and hydrological changes)? (Guidance statements 1, 2 and 5)		
3. Does the proposed project target area include ecologically sensitive areas,[139] areas of global/national significance for biodiversity conservation, and/or biodiversity-rich areas and habitats depended on by endangered species? (Guidance statement 1)	No	
4. Is the project location subjected to major destruction as a result of geophysical hazards (tsunamis, landslides, earthquakes, volcanic eruptions)?	No	
Natural resources		
5. Would the project lead to unsustainable natural resource management practices (fisheries, forestry, livestock) and/or result in exceeding carrying capacity. For example, is the development happening in areas where little up-to-date information exists on sustainable yield/carrying capacity? (Guidance statements 4, 5 and 6)	No	The programme aim to reduce the number of cattle in improving their productivity and health. Sustainable NRM is the backbone of the project with, among others, the management of pastures. Thus, the project should have a positive impact on pasture and erosion.
6. Would the project develop large-scale[140] aquaculture or mariculture projects, or where their development involves significant alteration of ecologically sensitive areas?	No	
7. Would the project result in significant use of agrochemicals which may lead to life-threatening illness and long-term public health and safety concerns? (Guidance statement 14)	No	
8. Does the project rely on water-based (groundwater and/or surface water) development where there is reason to believe that significant depletion and/or reduced flow has occurred from the effects of climate change or from overutilization? (Guidance statement 7)	No	The project will promote water harvesting techniques and efficient water use technologies using a river basin approach,
9. Does the project pose a risk of introducing potentially invasive species or genetically modified organisms which might alter genetic traits of indigenous species or have an adverse effect on local biodiversity? (Guidance statement 1)	No	The project will promote the plantation of local plants and trees and try to reduce the impact of invasive species present in

[139] "Sensitive areas" include: protected areas (national parks, wildlife/nature reserves, biosphere reserves) and their buffer zones; areas of global significance for biodiversity conservation; habitats depended on by endangered species; natural forests; wetlands; coastal ecosystems, including coral reefs and mangrove swamps; small island ecosystems; areas most vulnerable to climate change and variability; lands highly susceptible to landslides, erosion and other forms of land degradation, areas that include physical cultural resources (of historical, religious, archaeological or other cultural significance), and areas with high social vulnerability.
[140] The size threshold to trigger an Environmental and Social Impact Assessment (ESIA) may vary based on the country context and fragility of specific locations. Some countries have regulations on minimum size (usually ranging from a unit area of 10 to 50 hectares) and these will be adopted where they exist. However, where there are no standards, it is proposed to use 25 hectares as an aquaculture unit size to trigger an ESIA.

		pasture areas. The project will also support the use and protection of neglected and underutilized species (NUS) (e.g. non-timber forest products) and work with experienced partner on the field (e.g. Slow Food, already present in DRS and GBAO).
10. Does the project make use of wastewater (e.g. industrial, mining, sewage effluent)? (Guidance statement 7)	No	
Infrastructure development		
11. Does the project include the construction/ rehabilitation/upgrade of dam(s) and/or reservoir(s) meeting at least one of the following criteria? - more than 15 metre high wall; - more than 500 metre long crest; - more than 3 million m^3 reservoir capacity; or - incoming flood of more than 2,000 m^3/s (Guidance statement 8)	No	
12. Does the project involve large-scale irrigation schemes rehabilitation and/or development (more than 100 hectares per scheme)?[141] (Guidance statement 7)	No	
13. Does the project include construction/ rehabilitation/upgrade of roads that entail a total area being cleared above 10 km long, or any farmer with more than 10 per cent of his or her private land taken? (Guidance statement 10). Will the works entail temporary and/or permanent resident workers?	No	The rehabilitation of roads does not involve area being cleared, the road already exist but are in poor condition.
14. Does the project include drainage or correction of natural waterbodies (e.g. river training)? (Guidance statement 7)	No	

[141] The size threshold to trigger an Environmental and Social Impact Assessment (ESIA) may vary based on the country context and fragility of specific locations. Some countries have regulations determining size of irrigation development requiring a full ESIA and these will be adopted where they exist. However, where there are no standards, it is proposed to use 100 hectares as an irrigation development unit size to trigger an ESIA.

15. Does the project involve significant extraction/diversion/containment of surface water, leaving the river flow below 20 per cent environmental flow plus downstream user requirements? (Guidance statement 7)	No	
Social		
16. Would the project result in economic displacement[142] or physical resettlement of more than 20 people, or impacting more than 10 per cent of an individual household's assets? (Guidance statement 13)	No	
17. Would the project result in conversion and/or loss of physical cultural resources? (Guidance statement 9)	No	
18. Would the project generate significant social adverse risk/impacts to local communities (including disadvantaged and vulnerable groups,indigenous people, persons vulnerable to GBV and sexual exploitation and abuse and people with disabilities) or other project-affected parties? (Guidance statement 13)	No	
Other		
19. Does the project include the manufacture and transportation of hazardous and toxic materials which may affect the environment? (Guidance statement 2)	No	
20. Does the project include the construction of a large or medium-scale industrial plant?	No	
21. Does the project include the development of large-scale production forestry? (Guidance statement 5)	No	
Rural finance		
22. Does the project support any of the above (Question 1 to Question 21) through the provision of a line of credit to financial service providers? (Guidance statement 12)	No	
Category B – the following may have some adverse environmental and/or social implications which can be readily remedied.		
Location		
23. Does the project involve agricultural intensification and/or expansion of cropping area in non-sensitive areas that may have adverse impacts on habitats, ecosystems and/or livelihoods? (Guidance statements 1, 2 and 12)	No	
Natural resource management		
24. Do the project activities include rangeland and livestock development? (Guidance statement 6)	Yes	

[142] Economic displacement implies the loss of land, assets, access to assets, income sources, or means of livelihoods (guidance statement 13).

25. Does the project involve fisheries where there is information on stocks, fishing effort and sustainable yield? Is there any risk of overfishing, habitat damage and knowledge of fishing zones and seasons? (Guidance statement 4)	No	
26. Would the project activities include aquaculture and/or agriculture in newly introduced or intensively practiced areas? Do project activities include conversion of wetlands and clearing of coastal vegetation, change in hydrology or introduction of exotic species? (Guidance statement 4)	No	
27. Do the project activities include natural resource-based value chain development? (Guidance statements 1, 6 and 12)	Yes	
28. Do the project activities include watershed management or rehabilitation?	Yes	
29. Does the project include large-scale soil and water conservation measures? (Guidance statements 1 and 5)	Yes	
Infrastructure		
30. Does the project include small-scale irrigation and drainage, and small and medium dam subprojects (capacity < 3 million m^3)? (Guidance statements 7 and 8)	No	
31. Does the project include small and microenterprise development subprojects? (Guidance statements 12 and 13)	Yes	
32. Does the project include the development of agroprocessing facilities? (Guidance statements 2, 6 and 12)	Yes	
33. Would the construction or operation of the project cause an increase in traffic on rural roads? (Guidance statement 10)	Yes	It is a possibility due to Milk Collection Center and processing units in villages.
Social		
34. Would any of the project activities have minor adverse impacts on physical cultural resources? (Guidance statement 9)	No	
35. Would the project result in physical resettlement of 20 people or less, or impacting less than 10 per cent of an individual household's assets (Guidance statement 13)?	No	
36. Would the project result in short-term public health and safety concerns? (Guidance statement 14)	No	During infrastructure construction, safeguards should be established for worker safety and local communities
37. Would the project require a migrant workforce or seasonal workers (for construction, planting and/or harvesting)? (Guidance statement 13)	No	
Rural finance		

38.	Does the project support any of the above (Question 23 to Question 37) through the provision of a line of credit to financial service providers? (Guidance statement 12)	No	

Guidance for categorization

"Yes" response to any questions between 1 and 22	Environmental and social category is A	Environmental and Social Impact Assessment or an Environmental and Social Management Framework (full or specific) is required depending on availability of information. Also, some specific questions would require the below specific actions: • Yes to question 16 – A Resettlement Action Plan is required depending on availability of information. • Yes to question 17 – A Physical Cultural Resources Management Plan is required that includes provisions for managing chance finds at implementation. • Yes to question 18 – Free, prior and informed consent should be obtained/Free, Prior and Informed Consent Implementation Plan is required depending on whether the affected communities are identifiable. In instances where indigenous peoples are affected an Indigenous Peoples Plan is required. A Social Impact Assessment is required. • Yes to question 8 and/or question 15 – A water resources management plan for the project is required. • Yes to question 7, question 9 and/or question 19 – A pest management plan is required.
"No" response to all questions between 1 and 22 and "Yes" response to any questions between 23 and 38	Environmental and social category is B	An environmental and social analysis to develop an Environmental and Social Management Plan (ESMP) is required.
"No" response to all questions between 1 and 38	Environmental and social category is C	No further analysis is required.

In case projects fall under both category A and B, the highest category will be taken as reference. The determination of the project category and classification will depend on the magnitude of impacts and would depend on the scale of such activities; a cautious approach to the concern of cumulative impacts is considered essential. In such cases, the necessary environmental and social analysis and associated budget should be incorporated into project design. Such projects may be considered for category B.

Determining the environmental and social category A, including the extent of assessments and studies to be conducted, will also take into account available information, i.e. recent studies and assessments, including other initiatives in the country, to the extent these are relevant to the proposed project.
Declassification (from A to B or from B to C) may also be possible in case negative externalities are being addressed by other projects or activities implemented by third parties.

Guiding questions for climate risk screening

	Yes	No	Additional explanation of "yes" response*
1. Is the project area subject to extreme climatic events, such as flooding, drought, tropical storms or heat waves?	x		
2. Do climate scenarios for the project area foresee changes in temperature, rainfall or extreme weather that will adversely affect the project impact, sustainability or cost over its lifetime?		x	The programme activities are mainly adaptive to climate change.
3. Would the project make investments in low-lying coastal areas/zones exposed to tropical storms?		x	
4. Would the project make investments in glacial areas and mountains zones?	x		The programme is working on reducing water runoff and erosion by improving pasture management.
5. Would the project promote agricultural activity in marginal and/or highly degraded areas that have increased sensitivity to climatic events (such as on hillsides, deforested slopes or floodplains)?	x		The programme aim at rehabilitating degraded forests and pastures and at reducing number of cattle per hectare with pasture management plan and AI.
6. Is the project located in areas where rural development projects have experienced significant weather-related losses and damages in the past?		x	
7. Would the project develop/install infrastructure in areas with a track record of extreme weather events?		x	
8. Is the project target group entirely dependent on natural resources (such as seasonal crops, rainfed agricultural plots, migratory fish stocks) that have	x		The significant negative trend of rainfall in pasture in programme

been affected by in the last decade by climate trends or specific climatic events?			areas could affect yield and quality of the pasture.
9. Would climate variability likely affect agricultural productivity (crops/livestock/fisheries), access to markets and/or the associated incidence of pests and diseases for the project target groups?	x		
10. Would weather-related risks or climatic extremes likely adversely impact upon key stages of identified value chains in the project (from production to markets)?	x		
11. Is the project investing in climate-sensitive livelihoods that are diversified?	x		
12. Is the project investing in infrastructure that is exposed to infrequent extreme weather events?	x		
13. Is the project investing in institutional development and capacity-building for rural institutions (such as farmer groups, cooperatives) in climatically heterogeneous areas?	x		
14. Does the project have the potential to become more resilient through the adoption of green technologies at a reasonable cost?	x		
15. Does the project intervention have opportunities to strengthen indigenous climate risk management capabilities?	x		
16. Does the project have opportunities to integrate climate resilience aspects through policy dialogue to improve agricultural sector strategies and policies?	x		
17. Does the project have potential to integrate climate resilience measures without extensive additional costs (e.g. improved building codes, capacity-building, or including climate risk issues in policy processes)?	x		
18. Based on the information available would the project benefit from a more thorough accounting of GHG emission ?		x	

*The additional explanation, where possible, will provide the justification for classification. Consideration should be given particularly to provide additional explanations for questions 13 to 17.

Guidance for classification

"Yes" response to any of the questions 1 to 7	The climate risk classification is high	A detailed analysis is required
"Yes" response to any of the questions 8 to 17	The climate risk classification is moderate	A basic analysis is required

"Yes" response to question 18	GHG assessment	For example, EX-ACT tool
"No" response to almost all questions	The climate risk classification is low	No further analysis is required, but voluntary measures can be incorporated

Terms of References for the Environmental and Social Management Plan and the Environmental and Social Impact Assessment

The model terms of reference provided below is intended for the Environmental and Social Management Plans (ESMP) and the Environmental and Social Impact Assessments (ESIA) to be prepared in the framework of the formulation of the of Climate Sensitive Community Action Plans (CsCAPs).

A. Background information

Tajikistan is the most vulnerable country in Central Asia to climate risks.[143] Temperatures are increasing across the country and there is a clear shift in precipitation patterns. These changes pose a threat to the agricultural cropping calendar as well as to rangeland productivity. Along with an increase in irrigation demand, driven by higher temperatures that push up evaporation combined with increased heat extremes that negatively affect crop productivity, substantial risks for irrigated and rainfed agricultural systems can be expected. Agricultural yields could drop by as much as 30 percent in some parts of Tajikistan by the end of the century. Livestock would also be impacted, through increased pressure on pastures already subject to overgrazing and degradation as well as by health effects from higher temperatures. The climate change vulnerability analyses suggest higher adaptation needs in rural mountainous area, with predominance of agroforestry and livestock related livelihoods. The country is also prone to frequent natural disasters including floods, mudflows, landslides and droughts. Climate projections predict a worsening of the trends and events, with significant impacts on ecosystems, livelihoods and the economy. The country's geographic characteristics as well as its high levels of poverty and dependence on the agriculture sector present significant challenges for future adaptation.

At the national level, the Government of the Republic of Tajikistan (GoRT) has developed a National Climate Change Adaptation Strategy (NCCAS), which is a long-term statement of priorities with respect to climate change adaptation. GoRT also has made commitments to confronting the challenges of climate change and to implementing the commitments made in its Nationally Determined Contribution. At the same time, the country's institutional structure for climate change adaptation requires capacity building and technical support. The overall goal of the project is to assist the country in shifting to low emission sustainable development pathways and make the production practices of rural households more sustainable and resilient to climate risks. The development objective of the project is to strengthen public sector capacity for transformative climate-resilient management of natural resources, strengthen community capacity for planning and implementation and diversify livelihoods for enhanced resilience through market based approaches. The underlying theory of change of the project is that if Investments are made in supportive policy and technical capacity at the national level, climate resilient plans in participation with communities at the village level and investment in appropriate skills, inputs, equipment at the household level with access to markets in close engagement with the private sector, then vulnerable communities and households will adopt more sustainable production practices and make their livelihoods more resilient to climate risks.

Beneficiaries: The project will increase resilience and enhance livelihoods through the adoption of diversified, climate resilient livelihood options for an estimated 2.918,426 individuals or about 448,989 rural households in 21 climate vulnerable districts of the country. Of these, 100,000 households are expected to benefit directly and 348,989 indirectly. The numbers have been calculated to avoid double counting from the direct beneficiaries. It is expected that women will constitute 51.5% of the total beneficiaries. The proportion of direct households reached corresponds to 7% of the total population of the country and the indirect beneficiaries expected to be reached is 24% of the country population. Specifically, investments at the national, community and household level will help to make the targeted areas much more resilient to climate risks.

[143] ND-GAIN, 2018: https://gain.nd.edu/our-work/country-index/rankings/

Target areas: The Programme will be implemented in 21 selected districts in the regions of DRS (3) Sughd (2) and, Khatlon (16). The project area represents a bit more than 15% of the total country area and includes 47% of the national population . With more than 50% of the total livestock heads at national level, it has around 27% of the total pasture area, most of which is highly degraded. Average poverty levels of these districts is above 15%, spanning from the lowest relative poverty incidence in Rudaki (DRS) district (6,9%) and Mastchoh in Sughd as the highest, at 34%.

The project area is situated in a high agricultural production zone with a bit less than 50% of rainfed and irrigated crops. Only 8% of the actual forest land is situated in the project area, however it includes more than 21% of potential area for reforestation of the country.

Methodology for the geographic targeting: The selection of the districts was based on a vulnerability index including social, environmental and climatic and infrastructure parameters . The average vulnerability index of the project area is higher than the national average. Indeed, the area has suffered repeated long term drought events in the past decades in most of the selected districts (excluding Farkhor and Danghara). Furthermore, they experienced heavy precipitation events, specifically in Sh.Sholin, Khovaling, Baljuvon, Gissor and Shakrinav districts in Khatlon. Most of the project area is also situated in the area where the average maximum temperature is the highest in the country (except high mountain areas).

The design team in coordination with National Partners has undertaken a ranking exercise based on climate vulnerability (including rainfall trends, drought, erosion, land degradation) crossed checked with other socio-economic indicators (poverty percentage, rural population density). The vulnerability mapping helped to identify the geographical area and related number of districts/municipalities encompassing degraded agro-ecological zones where the population is highly vulnerable to climate change and suffer from very high levels of poverty.

The selection of districts has also considered: (i) overlaying with watershed/river basin boundaries; (ii) adjacency of selected districts to facilitate implementation; (iii) equal representation of the three agro-ecologic zones for inclusion of upstream and downstream communities highly affected by climate change.

Table with final selected 21 districts including key indicators (i.e. population , poverty percentage, WHHs percentage, pasture and crop land Ha) is presented in the SECAP (Appendix I). Details on methodology for Village Selections and criteria are provided in the PIM (targeting section).

The main target group consists of poor communities and those households whose livelihood is severely affected by climate change. These are represented by men and women engaged in traditional livelihood systems based on: (i) pastoralism (livestock rearing: cattle, sheep and goats) or agro-pastoralism/mixed farming; and (ii) combining small to medium scale livestock production (including sheep and goats, milking cows and poultry) with agriculture activities (crop/horticultural and fruits). The selection of the target groups and activities proposed is in line with Country Strategic Note (2016) and its strategic objectives.

The proposed activities planned under the project can catalyze impact beyond a one-off project investment and can lead to a paradigm shift in key areas. The project is designed to transform GoRT's approach through explicit consideration of climate change risks, vulnerabilities and adaptation measures in state policies and programmes at the national level and in development planning at the district and village level and assist households diversify their livelihoods. At the local level, the project will develop mechanisms to support locally-led adaptation by building capacities of local agencies to assess climate risks and identify and implement locally-appropriate solutions that can build a long-term legacy of local capacity for climate change adaptation. At the household level, the project will also instill a paradigm shift in agriculture production practices in the crop and livestock sector. A key paradigm shift that will be facilitated will be to work from the market by forming productive alliances with the private sector to ensure that the local production systems are able to use their resources efficiently by responding to market demand.

In so doing the programme will provide programme services for the actually or potentially economically active among the following target population: (i) subsistence and semi-subsistence men and women farmers with upside potential, in particular those willing to move to more commercial farming; (ii) extremely poor men and women (focus on FHHs) living below the poverty line, who are either landless or are producing a minimum subsistence level on household plots; (iii) the rural underemployed and self-employed youth (including returning migrants).

Component 2: Investments in community capacity for adaption and resilience to climate change - The component 2 of the project represents the most significant share of the financial outlay of the project and is designed to enhance the climate resilience of vulnerable communities in the selected districts through the development and implementation of Climate Sensitive Community Action Plans (CsCAPs.) This component will be implemented in 400 villages in the selected districts. The villages have been selected based on their vulnerability to climate change and their limited adaptive capacity. The project will encourage a collaborative and a participatory diagnostic and implementation process. The process will be led by the district Government and facilitated by a competitively recruited NGO facilitator and implemented by both public and private sector agencies with participation of communities. Given that the process is participatory, the exact scope of the plans and the nature of investments will be identified during the diagnostic process.

The Project, through proper screening and social and environmental safeguards, will make sure that CsCAPs include a balanced mix of investment activities, and that they properly capture the need for specific interventions on climate change adaptation, mitigation and disaster risk reduction. The list of options are indicative as they will be identified by the beneficiary households based on climate diagnostic analysis and village level priorities. The series of activities and sub-activities under this component are designed and will implement investments conceived and identified by the communities as indicated above.

B. Personnel. The assignment will be undertaken by four (4) national experts, with experience in conducting ESMP and ESIA, and with good knowledge of environmental and natural resources issues, as well as social, health and gender targeting issues, in the project area. The team should be composed of at least one (1) environment and climate specialist and one (1) social inclusion specialist working together for each CsCAP. In total, the PMU will therefore hire two (2) environment and climate specialists and one (1) social inclusion specialists.

C. Qualification:

- Degree/Academic Level & Years of Professional Experience: Professional with a master's degree in social and/or environmental sciences with at least 2 years' experience in socio-environmental impact management/social environmental impact assessment.

- Languages: Working skills Tajik and written skills of English.

- Skills: ability to work with little supervision

D. Schedule. The assignment is planned to be undertaken over the period of CsCAPs' design. At design, the project has planned 2 years work (24 months) for 2 environment and climate specialists and 2 social inclusion specialists, distributed over the period of CsCAPs' design.

E. Main tasks: The team will undertake a screening exercise for each draft CsCAPs to assess the activities using the ESMF questions "Guiding questions for environment, social and climate risk screening" section below. The guiding questions will be used to classify the sub-projects under the CsCAPs. The team will use the guiding questions (1 to 22) as an exclusion list for activities. If an activity in the draft CsCAP falls under the category A, the team will inform the project and necessary action will be taken (e.g. modification or exclusion of the activity). Exceptionally in the case of the reforestation/rehabilitation of forest in buffer areas to reserves and national parks, the team will prepare an ESIA as presented in the Annex 1, section 2 below. If at least one activity of the CsCAP falls under category B (questions 23-38), the team will prepare an ESMP for the CsCAP as presented in

the Annex 1, section 1 below. Both ESMP and ESIA will need to be produced in English and Tajik languages (or any relevant language, e.g. Russian).
It is advisable for the team to convene a workshop or meeting to agree on the approach to ESMP/ESIA work (as presented in the Annex 1 below) and ensure that the findings are properly integrated and coordinated into the CsCAPs.

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ESIA TORs - Appendix 1. Guiding note for the Environmental and Social Management Plan and the Environmental and Social Impact Assessment for Community Based Agriculture Support Programme 'Plus' – CASP+

Section 1 - Environmental and Social Management Plan (ESMP)

1. Introduction

An important objective of environmental assessment is to develop procedures and plans to ensure that the mitigation measures and monitoring requirements approved during the environmental compliance review will actually be carried out in subsequent stages of the project.

As a result, IFAD places strong emphasis on the preparation and proper implementation of ESMPs. SECAP thus requires the proponent or their consultants to prepare an ESMP as a major output of the environmental and social assessment/ analysis. Where appropriate, the key contents of ESMPs should be / are incorporated into the condition of the loan approval.

IFAD also requires that an ESMP be also included as part of the ESIAs (for category A projects). The ESMP is carefully reviewed to ensure environmental safeguard compliance throughout IFAD's project cycle. In CASP+, each CsCAP will need to integrate an ESMP to ensure that CsCAP's activities will not have adverse impacts on the environment or the population. The ESMP will display the mitigation and enhancement measures and the monitoring system aligned with the CASP+ M&E system. The ESMP will be linked to the Grievance and Redress Mechanism as presented in the Appendix 6 of the SECAP.

1.1. Project Description

Under this section the project with its components is described in some details including the budget dedicated to each component.

1.2 Institutional and Legislation Analysis.

In this section the institutions and stakeholders are examined in terms of their strengths and weaknesses as well as role and responsibilities.

2. The ESMP

At the minimum contents of an ESMP should include and describe the following:

2.1. Summary of Impacts

Under this section positive and negative significant impacts that can be obtained as a result of the implementation of the proposed action should be outlined.

These impacts can be direct, indirect, cumulative, synergistic, immediate, long term, temporal or permanent. They can also be impacts on:

- Human health and safety
- Social and economic wellbeing of communities
- Economy of the country, region and municipality
- Occupational health and safety
- Physical environmental conditions (irrigation schemes)
- Appropriate technology
- Biodiversity resources, etc.

2.2 Proposed Mitigation Measures
Clear and achievable targets, and quantitative indicators of the level of mitigation required. Each measure should be briefly described in relation to the impact and conditions under which it is required. These should be referred to designs, development activities, equipment descriptions, and operating procedures and implementation responsibilities.

2.3. Enhancement Measures
The enhancement measures description should indicate the arrangement for enhancing the potential positive impacts on a sustained basis. It should also present a strategy and concrete action plan to go beyond a mere fixation of the adverse impacts emanated from the proposed action.

2.4. Monitoring Programs and Parameters
Outline the specific monitoring protocols, parameters, and expected frequencies. It should identify objectives and specify methods, the type of monitoring required; describes parameters as well as environmental performance indicators which provide linkages between impacts and mitigation measures identified in the ESIA report (for category A projects).

If appropriate, it should further elaborate, sampling location, techniques and frequency of measurements detection limits and definition of thresholds to signal the need for corrective actions and description of post decommissioning monitoring.

2.5. Public Consultation Activities
Include a plan for meaningful public participation and communication mechanisms during the finalization and implementation of the ESMP. The degree of consultation will depend on the project and local situation, but will normally include: \

(i) notification of local communities when project activities are going to take place;
(ii) disclosure of the results of emergency plan or monitoring programs to local communities and other stakeholders; and
(iii) provision for independent third party monitoring, where and when necessary.

Projects with potential for significant adverse impacts may require public consultation on the design of mitigation measures and provide for public participation in environmental monitoring. Stakeholder consultation is also recommended during the preparation of final monitoring reports.

2.6. Responsibilities
Specify the institutional arrangements for implementation -taking into account the local conditions. Responsibilities for mitigation and monitoring shall be defined along with arrangements for information flow, and for coordination between agencies responsible for mitigation. ESMP should specify the organizations and individuals that will be responsible for undertaking the mitigating and monitoring measures, e.g., for enforcement of remedial actions, monitoring, training, and financing. A third party may be contracted in case the local authorities' capacity is limited. The ESMP may propose institutional arrangements including the establishment of appropriate organizational arrangements, appointment of key staff and consultants; and arrangements for counterpart funding when necessary.

2.7. Preliminary Cost Estimates
Ensure that mitigation measures and monitoring are adequately funded, the
ESMP should contain preliminary cost estimates. During implementation, the
ESMP should be revised once construction and operational activities are well defined. Information should also be provided on the responsibilities for reporting, work plan, procurement plan, cost estimates and mechanisms for corrective action.\

2.8. Reporting and Reviewing
Successful environmental supervision requires a mechanism to (i) determine whether the proponent is carrying out the project in conformity with the ESMP, (ii) identify problems, and (iii) develop plans for corrective action.

Specify institutional responsibilities and roles for preparing, submitting, receiving, reviewing, and approving the reports. An implementation schedule detailing the timing, frequency and duration of

mitigation measures, monitoring, and reporting of the progress should be prepared, showing phasing and coordination with procedures in the project operations manual.

2.9. Capacity building

The need and mechanism for capacity building required for proper implementation of ESMP and continual improvement in the environmental management performance should be described.

In some cases, technical assistance may be required to build capacity, including technical support, equipment and financial resources, for strengthening of the proponent. In general, institutional strengthening should:

- help the proponent to supervise the implementation of the ESMP including supervision and evaluation of the work to be undertaken with respect to the mitigation measures and monitoring requirements;
- provide on-the-job training to staff or top management team of the organization (PMU , government) in order to build awareness and technical expertise in the environmental and social aspects of environmental management;
- instruct the organization personnel in the proper techniques of project inspection, monitoring, use of field monitoring equipment, and data collection; and
- assist the Consultants to coordinate and consult with other government agencies, local communities, NGOs, and other stakeholders concerned with the environmental aspects of the project.

3. *Conclusion and recommendations*

You may find it useful to summarize the data obtained in one or more tables/matrices of your choice. See outline below. **ESMP Matrix**						
Environmental /Social and climate Impacts	**Recommended Mitigation/Enhancement measures**	**Public Consultation Activities**	**Responsible Institution In Implementation Phase**	**Means of Verification (Monitoring and reporting)**	**Frequency of Verification**	**Cost Estimate**

Section 2 - Environmental and Social Impact Assessment (ESIA)

A. Objectives of the Environmental and Social Impact Assessment (ESIA) study

The objectives of the ESIA study is to provide options that would inform and thus improve decision-making of CsCAPs activities under the component 2 of CASP+ by: (i) identifying key linkages between rural poverty and environmental management and assess the potential impacts of the proposed activities under the draft CsCAP on the environment, including the natural resource base, and on the health and livelihoods of communities in the target areas; (ii) exploring and identify key options for advancing environmental and social sustainability; and (iii) recommending mitigation measures and key opportunities to influence IFAD and GCF support towards environmental sustainability and climate smart development under the CsCAP.

The key environmental, climate change and social[144] issues to be addressed include: (i) challenges faced to meet its rural development and food security goals; (ii) the major environmental, climate change and social issues that have a bearing on IFAD and GCF operations; (iii) the direct impact and multiplier effect the mentioned issues have on the resilience of ecosystems and productivity of land and crops, natural resource management and rural livelihoods; (iv) the scale of volatility and risks resulting from climate variability and change; and (v) regulatory frameworks that are related to rural development and environmental issues.

The expected results of the ESIA are: (i) an assessment of the environmental (and social/economic/institutional) issues, particularly in the agricultural and rural development sector; (ii) the identification of links with relevant ongoing initiatives; and (iii) the provision of specific measures and recommendations, including opportunities to optimize adaptation/mitigation, environmental management and resource use in the CsCAPs. These results will shed light on the important opportunities available to build resilience and adaptive capacity and avoid negative impacts on the environment and the population.

The IFAD Climate Change Strategy (2010) calls for the Fund to more systematically respond to increasing demands from clients for technical support and innovation to better respond to climate change. This means analysing and addressing climate change challenges during the early stages of programme and project design to build resilience and adaptive capacity. The ESIA will rely on the results from the District Climate Resilience Diagnostic (DCRD) for each district.

The IFAD Environment and Natural Resource Management Policy (2011) stresses that project designs present new opportunities to improve systematic integration and scaling up of environment and natural resources of the portfolio. Such integration can help IFAD to engage in new and strengthened partnerships with specialized entities for enhanced and effective responses to issues associated with natural resources and climate variability and change. The policy provides ten core principles and eleven best practice statements to guide IFAD interventions.

B. Key principles to guide the ESIA

(i) Look beyond the traditional "do no harm" safeguard approach to mitigating environmental, climate change and social risks towards "doing good" through greater focus on sustainability and management of environmental (rehabilitating degraded lands, seizing adaptation/mitigation opportunities, and transforming the underlying inequalities that undermine inclusive development, etc.) and social impacts and risks.
(ii) Begin the ESIA with a scoping exercise with the objectives of identifying the relevant social, environmental and climate change issues

[144] The term "social" encompasses the following: demographic structure (age, gender, population growth), settlement and migration patterns, education and skills, local economy, employment (formal and informal sectors), livelihoods and livelihood options, use of ecosystem services, land use and land tenure (property rights), community health and well-being (including health status and drivers of disease), gender roles and equality, culture (shared beliefs, customs, values, language and religion), cultural heritage (physical and spiritual), local governance structures and decision-making, community services (schools, tertiary institutions, health care, water and sanitation, power supply, communications), indigenous knowledge. (Adapted from Vanclay, 2003, https://www.iaia.org/uploads/pdf/IAIA-SIA-International-Principles.pdf)

(iii) Place strong emphasis on identifying opportunities and develop an appropriate management plan to enhance results and impact.
(iv) Identify and compare alternative scenarios to recommend realistic proposals for CsCAP's final design consideration.
(v) Identify capacity needs required to effectively implement the environmental and social management plan at district level.
(vi) Produce a realistic monitoring plan, including appropriate change management processes.
(vii) Engage affected communities and other interested stakeholders throughout the ESIA process, from scoping to review, and comment on the final draft report prior to decision-making.

C. Scope of work

The ESIA study will consider economic, natural, and social aspects in an integrated way. The study will take into account obligations of the country pertaining to project activities under relevant Tajikistan's laws and international agreements and standards, best practices, and realities of the institutional capabilities related to environment, climate change and social aspects. Specifically, this will involve: (i) engaging a broad range of stakeholders at the national, regional and communal levels, involving as much as possible targeted communities; (ii) identifying and addressing cross-border issues, as necessary; (iii) identifying environmental, climate change and social opportunities and constraints; (iv) ensuring integration with international, regional (where relevant), and national policy and planning structures; and (v) including an effective system for monitoring of climate, environmental and social issues. Mainly secondary information and qualitative methods will be used for conducting the ESIA study.

On the basis of data drawn from: (i) IFAD reports, government studies and documentation from other development partners; (ii) field visits and meetings with relevant stakeholders in the country; and (iii) making use of the suggested questions and best practice statement on environment and natural resource management (see section on "Guiding questions for environment, social and climate risk screening" below), the consultants will perform the following key tasks:

Task 1: Determining the scope of the ESIA

Based on the draft CsCAPs, the CASP+ SECAP, the District Climate Resilience Diagnostic (DCRD), the consultation with affected communities and concerned, knowledgeable groups or agencies, identify the project-affected area, determine the scope of the ESIA, and prepare a scoping report. Following a review by the implementing agencies and IFAD, the scoping report will be disclosed on CASP+'s website and shared with concerned communities by the team in local language for comment by interested and affected parties.

The scoping report shall include the terms of reference for the detailed ESIA and for any specialist studies that may need to be conducted, for example, on social impact assessment (see model terms of reference in annex 9 of the SECAP manual[145]) and health (see model terms of reference in annex 10 of the SECAP manual[146]), water resources and hydrology, soil chemistry, and biodiversity.

Task 2: Description of the environmental conditions of the project area

Guided by the scoping report, assemble, evaluate and present all relevant baseline data on the relevant environmental, climate change and social characteristics of the project area. This should include rates of forest and other natural resources degradation, physical cultural resources, river flow and sedimentation rates, pollution sources and levels, social structure and health. Data should be relevant to decisions about activities location, design, and operation or mitigation measures.

Physical environment: topography, climate, soils, rainfall, infrastructure, etc.

[145] https://www.ifad.org/en/-/document/social-environmental-and-climate-assessment-procedures-secap-
[146] Ibid.

Biological environment: flora, fauna, endangered species, sensitive sites and significant natural sites.

Sociocultural environment: population dynamics, land use, poverty trends, community structure and capacities, community health (current status and drivers of disease), sources of livelihoods, distribution of income, cultural heritage, goods and services, level of community environmental awareness on issues such as poverty and environment, biodiversity loss and climate change, extent of community dependence on natural resources for livelihoods and access to basic services, such as water and sanitation, health-care facilities, schools, agricultural extension, electricity, transport, and markets.

Task 3: Legislative and regulatory considerations

Review current national policies, legislation and legislative instruments governing environmental management, health, gender and social welfare, climate change (mitigation and adaptation) and governance with their implementation structures; identify challenges; and recommend appropriate changes in CsCAP's activities for effective implementation.

Task 4: Determination of the potential environmental, climate and social impacts and risks of the proposed activities under the CsCAP

Identify and analyse (quantitatively, where possible) opportunities, potential positive and negative impacts (e.g. associated with the development of roads, small dams, use of pesticides), direct and indirect impacts and immediate and long-term impacts of the proposed project on the natural resource base, livelihoods and community structure and health. Include an assessment of the potential cumulative impacts of the proposed activities and other activities that are ongoing, planned or can reasonably be foreseen to occur in the affected area. Assess environmental, climate adaptation and social costs of these impacts. The assessment applies the mitigation hierarchy: if avoidance is not possible, reduce and minimize potential adverse impacts; if reduction or minimization is not sufficient, mitigate and/or restore, and as a last resort compensate for residual impacts.

Task 5: Analyse alternatives and recommend modifications to the CsCAP's design

Conduct an analysis of possible alternatives which may be considered relating to the site, route, process, inputs, design, crops, irrigation systems, etc. Identify and agree on a set of evaluation criteria to use in the alternatives assessment, including social, biophysical, technical and financial indicators, and determine a scoring system or use one of the multicriteria analysis tools available. Recommend feasible and cost-effective measures to prevent or reduce negative impacts.

Task 6: Development of an environmental and social management plan

Formulate an integrated plan to avoid, minimize, mitigate or compensate for the significant potential environmental, health and social impacts and to avoid or mitigate climate change risks. Prepare a detailed plan to monitor environmental, health and social impacts and implementation of mitigation plans developed. The plans should specify the actions to be taken for each impact, and identify the entity responsible for taking the action, the timing according to the stages of the project, and the estimated cost.

Identify and recommend preventive measures to mitigate climate change risks and adverse environmental, health and social impacts of the project as well as who will implement them and the mitigation costs.

Task 7. Assist in inter-agency coordination and public and/or non-governmental organization (NGO) participation

Assist in coordinating the environmental and social assessment with other government agencies, in disclosure of documents in accessible locations in appropriate form and language, in obtaining the views of local NGOs and targeted communities, and in keeping records of meetings and other activities, communications, and comments and their disposition.

Report. The ESIA report should be concise and limited to environmental and social issues, including emerging issues. The main body of the report should be limited to findings, conclusions and recommendations supported by data collected and literature cited. Other documents used should be presented in annexes or appendices.

For the purpose of public consultation, the ESIA documentation should be translated into material that is accessible, in form and language, to the local population.

The ESIA report will be disclosed in accordance with IFAD's disclosure policy, on CASP+'s website and shared with concerned communities in local language. List of data sources:

- IFAD Climate Change Strategy (2010)
- IFAD Environment and Natural Resource Management Policy (2011)
- IFAD Social, Environmental and Climate Assessment Procedures (chapter 1)
- Disaster Risk Management Guidelines
- Country evaluation report

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ESIA TORs – Appendix 2. Recommended format for the Environmental and Social Impact Assessment (ESIA)

The Environmental and Social Impact Assessment (ESIA) is a management tool used for, in this case under CASP+, better CsCAPs planning and design and can be considered an overall process within which an actual ESIA study itself is carried out. As such, the term ESIA can be used in several ways, as follows:

- a process which enables environmental, climate change, health and social issues to be taken into account during all stages of CsCAP design and implementation;
- a formal procedure for providing environmental, climate, economic, health and social information for decision-makers who authorize the CsCAP; and
- a study that identifies, predicts and evaluates the potential environmental, climate, health and social impacts and risks of CsCAP in a systematic and objective way, recommends appropriate actions and mitigating measures, and maximizes environmental opportunities. The results of the ESIA study are presented in the form of a report (which includes the Environmental and Social Management Plan) as an appendix to the CsCAP report.

While Environmental Impact Assessment/ESIA legislation differs among countries, the general process involves a standard sequence of steps.
The steps in IFAD's ESIA process can be presented in generalized form, as follows:

A. Pre-ESIA
   (i) Screening[147] and scoping.[148]
   (ii) Organization of study.[149]
   (iii) Approval of terms of reference for the ESIA and specialist studies.

[147] The environmental, social and climate screening and scoping exercise determines whether the CsCAP activity requires an ESIA or some subsidiary form of investigation. This form of screening generally relies on the use of criteria and guidance statements (e.g. example of generic questions presented below in the section "Guiding questions for environment, social and climate risk screening"). Only activities identified having possible adverse impacts on the environment or the population go through the next stage of the ESIA process.
[148] Scoping. This stage comprises the identification of issues that should be considered in the study and in what depth, by whom, how and by when. Initial scoping is carried out on the basis of the preliminary assessment and other information available on the project proposal. In some countries, procedural guidelines for scoping exist, as do requirements for the format and content of ESIAs.
[149] Organization of study. If after the review of the preliminary assessment, the competent authority determines that a full ESIA study is required, the organizational modalities (logistics, stakeholders' engagement, etc.) for the study are worked out.

B. ESIA study[150]

(i) Describe the proposed project actions and their goals.
(ii) Describe the initial state of the environment, including the social, economic, cultural and health situation, in order to establish a baseline for future reference.
(iii) Identify potential impacts (environmental, social, health).
(iv) Include the main findings of the climate risk analysis (based on the District Climate Resilience Diagnostic (DCRD) by district).
(v) Describe alternatives considered.[151]
(vi) Predict likely impacts, including direct, indirect, reversible, irreversible and cumulative effects.
(vii) Evaluate significance and likelihood of impacts (positive and negative), and compare and evaluate alternatives.
(viii) Identify opportunities to maximize benefits and appropriate preventive actions to eliminate, reduce or mitigate negative impacts.
(ix) Prepare an environmental, social and climate management plan.
(x) Design an environmental, social and climate monitoring and evaluation programme.

C. Post-ESIA study

(i) Technical review of an Environmental and Social Impact Assessment (ESIA) by PMU and CEP. Review of the ESIA report, including public participation consultation.[152]
(ii) Decision-making: Should the CsCAP activities proceed or not? [153]
(iii) Implementation of the environmental, social and climate management plan.

Depending on the ESIA procedures adopted in Tajikistan, the process generally involves an independent authority that has the responsibility for ensuring that the ESIA process is conducted in accordance with the legal requirements of the country (e.g. CEP). These tasks generally include: ensuring that ESIA studies are carried out for relevant projects according to pre-established screening mechanisms and the approved terms of reference; ensuring that the ESIA report contains sufficient, quality information to allow informed decision-making; and making decisions concerning whether a project may proceed and, if so, what mitigation measures are required. Monitoring compliance with the legal requirements and the commitments made in the Environmental and Social Management Plan is generally the responsibility of the implementing agency in collaboration with the environmental authority.

The ESIA should focus on the significant environmental, social, health and climate issues identified by the environmental, social and climate screening and scoping exercise. The ESIA report should be

[150] The ESIA study is the centrepiece of the ESIA process. The ESIA study culminates in the preparation of an Environmental and Social Impact Assessment report which also addresses climate change issues. The report, which includes the Environmental and Social Management Plan, will highlight the major impacts and possible mitigation measures, as well as alternatives to the proposal. It also forms the basis for the review and decision-making steps outlined below.

[151] Alternatives considered should include several CsCAP options and the "no action" alternative. Among the possible alternatives, the report should clearly show which alternatives were considered in detail and the rationale for that choice. Possible alternatives can include the site, route, process, inputs, design, crops, irrigation systems, etc. Identify and agree on a set of evaluation criteria to use in the alternatives assessment, including social, biophysical, technical and financial indicators, and determine a scoring system or use one of the multicriteria analysis tools available. Unfortunately, many ESIA reports are deficient in the consideration of true alternatives to the proposed action. Identification of potential impacts should be done for all alternatives considered in detail.

[152] Review of the draft ESIA report. The report is reviewed to ensure that it provides the necessary information for decision-making. Depending on the legislative or procedural context, review may entail scrutiny by an independent body or the environmental authority in charge of the ESIA process. The draft report is also reviewed by the Project Delivery Team. There will be provisions for public review and comment prior to appraisal. The review stage may result in revisions being made to the ESIA before it is submitted to the decision-making authority for final approval. The draft ESIA report is cleared by the relevant national authority for disclosure on the IFAD website and at the country level.

[153] Decision-making. In most countries, the ESIA report must be approved by the environmental authorities before an environmental authorization/permit/licence can be issued allowing the project to proceed. Most countries also stipulate the validity period of the environmental authorization (usually two to three years). Projects must commence within the stated time; otherwise, the proponent has to reapply for an environmental authorization. The environmental authorization usually contains a set of conditions based upon the recommendations made in the ESIA and the Environmental and Social Management Plan (ESMP). The ESIA report and ESMP must also be cleared by the respective IFAD regional division after technical inputs from the Production, Markets and Institutions Division and the Environment,Climate and Gender Division.

concise – the level of detail and sophistication being commensurate with the potential impacts identified in the review note. The target audience is the implementing agencies, borrowers, affected populations and relevant IFAD staff. The statement/report submitted to the implementing agencies and IFAD should be prepared in any of the United Nations official languages. The final ESIA statement/report, which is attached as an appendix to the project design report, should include the following items (see the box below):

Outline of the ESIA report

Executive summary. Concise discussion of significant findings and recommended actions.

Introduction. Provide the rationale for the Environmental and Social Impact Assessment (ESIA) based on the screening exercise. Concise discussion of significant findings and recommended actions. Mention the approach and methodology taken, which may include a climate vulnerability assessment, social impact assessment and/or a health impact assessment.

Policy, legal, and administrative framework. Discussion of the policy, legal and administrative framework within which the ESIA is prepared. Review current national policies, legislation and legislative instruments governing environmental management, health, gender and social welfare, climate change (mitigation and adaptation) and governance with their implementation structures; identify challenges; and recommend appropriate changes in CsCAP's activities for effective implementation.

Project description. Concise description of the CsCAP and its geographical, climate, ecological, social and temporal context, with particular emphasis on specific project components which are the subject of the ESIA – e.g. likely to cause positive or negative impacts – in line with the environment, social and climate screening and scoping exercise. Take into account lessons learned from previous relevant ESIAs. Describe possible future project phases.

Baseline data. Determination of the dimensions of the study area (zone of influence) and description of the relevant physical observed changes and prediction of climate change, biological and socio-economic conditions (including level of community environmental awareness), including any changes anticipated before the project commences and over the lifetime of the project (based on the District Climate Resilience Diagnostic (DCRD) by district). Current and proposed development activities within the CsCAP area (but not directly connected to the project) should also be taken into account. Where data are lacking or unreliable, specific reference must be made on this point. The baseline should describe the environmental, social, health, cultural and climate context in a quantitative style to allow measurement of project results.

Anticipated socio-economic impacts/risks and mitigation measures. Assessment of positive and negative social, health and economic impacts likely to result from the proposed CsCAP activities. Specific attention should be given to maximizing opportunities, avoiding involuntary resettlement,[154] preventing Gender-Based Violence (GBV) and Sexual Exploitation and Abuse (SEA), enhancing gender equality and women's empowerment, and reducing vulnerability to risks/effects of climate change and variability and other project impacts.

Anticipated environmental impacts/risks and mitigation measures (includes climate change). Identification and assessment of the positive and negative impacts likely to result from the proposed CsCAP and vice versa (preventive actions and/or mitigation measures, and any residual negative impacts that cannot be mitigated should be identified. Opportunities for building

[154] Identifies, assesses and addresses the potential economic and social impacts of the CsCAP that are caused by involuntary taking of land (e.g. relocation or loss of shelter, loss of assets or access to assets, loss of income sources or means of livelihood, whether or not the affected person must move to another location) or involuntary restriction of access to legally designated parks and protected areas. Special attention should be paid to: (i) establishing a deadline for property claims; (ii) evaluating pre-resettlement living standards and assets; (iii) appropriately compensating individuals and villages that are physically or economically displaced by the said project; and (iv) conducting a fair and equitable resettlement operation.

resilience to climatic shocks and enhancing environmental issues,[155] including promotion of global environmental benefits, should be explored. The analysis and elaboration of risks associated with climate change in the project area should be undertaken to ensure that appropriate adaptation and mitigation measures are included among the interventions, and in the project risk analysis for long-term sustainability of results. The short- and long-term positive and negative health impacts of the project on workers and affected local communities should also be identified, assessed, and appropriate mitigation measures provided in the Environmental and Social Management Plan (ESMP). The extent and quality of available data, key data gaps, and uncertainties associated with predictions should be identified/estimated. Topics that do not require further attention should be specified.

Assessment of cumulative impacts. The potential positive and negative environmental and social impacts of the programme or project, together with those of other ongoing or planned activities or activities in the same area that may reasonably be foreseen, should be identified. Effects of those other activities on the project's vulnerability to climate change, and susceptibility to pollution and other direct and indirect health impacts, should be considered. The ESIA should explain the extent to which the project's implementing agency and other relevant government authorities and non-governmental organizations (NGOs) can maximize opportunities and avoid, minimize, mitigate or compensate for cumulative impacts, and, for significant impacts beyond the control of the implementing agency, the ESIA should identify the actions necessary to be taken by others.

Analysis of alternatives. Conduct a systematic comparison of the proposed investment, as well as design, site, technology and operational alternatives in terms of their potential environmental, resilience and social impacts and capital and recurrent costs and suitability under local conditions. For each of the alternatives considered, the environmental, climate adaptation, health and social costs and benefits should be quantified to the extent possible, and economic values should be attached where feasible, with attention being given to cost-effectiveness. The basis for the selection of the preferred alternative for the project design must be stated. Where possible, expand the programme's approach to address issues associated with climate change adaptation, mitigation and disaster risk management.

Recommendations for changes to programme/project design. Identification of feasible and cost-effective measures that may reduce climate vulnerability, reduce potentially significant adverse environmental, health and social impacts to acceptable levels, and estimate the residual environmental impacts; capital and recurrent costs of mitigation; and institutional, training and monitoring guidance required to implement the ESMP. Consider providing details on proposed work programmes and schedules. Such details help ensure that the proposed changes in project design can be executed in phases with previously planned activities throughout implementation. Compensatory measures should be considered if mitigation measures are not feasible or cost-effective.

Institutional aspects. Assessment of the existence, role, capacity and capability of formal and informal institutions for climate change, natural resource management, including environmental officers (at the agency and ministry level), and informal and community-level organizations. Agencies responsible for the management of health and social impacts should be included in this assessment; examples are public health departments, museum or antiquities commissions, and ministries of social welfare, women's affairs, cultural affairs, and agencies dealing with land issues.

Environmental and Social Management Plan (ESMP) **(includes implementation arrangements).** Identification of the preventive actions and/or mitigation measures recommended to eliminate, reduce or mitigate climate risks and the potential adverse environmental and social impacts/risks of the programme/project – as well as the responsible parties for implementing such actions/measures, the timing of activities in relation to stages of the programme/project,

[155] Global environmental issues include climate change, ozone-depleting substances, international waters, land degradation and adverse impacts on biodiversity.

estimated costs involved, poverty-environment indicators, etc. Consider the use of climate proofing of investments.

Monitoring plan (includes performance indicators). Specification of the type of monitoring (e.g. participatory, social measures, environmental quality, implementation of environmental measures) for the identified possible impacts of the CsCAP aligned with the monitoring system under CASP+ (e.g. project staff, training, GIS, field monitoring, supervision arrangements).

General conclusions and recommendations

Appendices

(i) Composition of the ESIA study team – individual(s) and organizations. Specify professional registration and certification status (in those countries where this is required for environmental and social assessment practitioners).
(ii) References – written materials used in study preparation. This list is especially important given the large amount of unpublished documentation often used.
(iii) Record of consultations – the record of consultations for obtaining the informed views of the affected people and local NGOs should be included. The record should document the public consultation process and its influence on project design and/or implementation. The record should specify any means other than consultations that were used to obtain the views of affected groups and local NGOs. (List community individuals and organizations consulted.)
(iv) Specialist studies – include all specialist studies that were undertaken to inform the ESIA, such as ecological flows, hydrological studies, soil surveys, health impact assessment, gender assessment and climate risk analysis.
(v) Terms of reference – include the approved terms for the ESIA and specialist studies.
(vi) Authority approval – include correspondence from the environmental authorities regarding the approval of scoping reports, terms of reference, ESIA reports.

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ESIA TORs – Appendix 3. Technical review of an Environmental and Social Impact Assessment (ESIA) by PMU and CEP PIU District officers

The PMU and CEP PIU District officers will review the adequacy of the ESIA report, checking especially the questions shown in the box below.

Questions for the technical review of an ESIA

- Is the executive summary adequate, with recommendations clearly stated? Including significant impacts (unavoidable or irreversible); cumulative effects of impacts; probability of predicted and evaluated impacts; appropriate mitigation measures and monitoring activities.
- Does the ESIA comply with the approved terms of reference for the study?
- Did the consultants follow the required legal process for an ESIA?
- Does the ESIA indicate how the project is compatible with other relevant policies in the country relating to environment, social, health, gender, labour, climate change, etc.?
- Are cost-effective alternatives to CsCAP interventions (location, design, technology, etc.) described and have their impacts and costs been evaluated appropriately?
- Is the poverty-environment nexus adequately addressed and linked to an integrated analysis of the environmental, social, health and climate change impacts of the plan?

- Does the baseline section give an overall picture of present environmental, social and climate conditions and trends (including climate change and social predictions), and include ongoing and proposed development activities in the study area? Does it provide comments on the quality of the data and the completeness of the database? Is the baseline study adequate for decision-making?
- Does the report takes into account the existing environmental and social risks/impacts. Including the vulnerability of disadvantaged group/individuals to GBV and SEA? To what extend does the environmental degradation affect community livelihood and the sustainability of the project?
- Does the report take into account existing risks, the degree of exposure and vulnerabilities of the target groups and their livelihoods, current climate variability and/or the potential future impacts of climate change? Is there inclusion of appropriate adaptation and disaster risk reduction measures to address potential climate change impacts?
- Is there adequate consideration for building on existing capacities, such as endogenous, community-based coping strategies and adaptive responses? Does the report explore the potential for the project to capitalize on ongoing adaptation and mitigation efforts by other development actors through partnerships?
- Do mitigating measures appear adequate to both control all significant adverse impacts and enhance project benefits? Are the institutional arrangements for implementing and monitoring the measures defined? Are the costs of implementing and monitoring all recommendations adequately budgeted in the cost tables?
- In case of direct project impacts on land and property, have the affected people or communities been properly identified, their needs evaluated, free, prior and informed consent processes conducted, and proper compensation mechanisms been set and settled?
- Have the public consultation processes (especially with the rural poor, indigenous peoples, women and other disadvantaged and vulnerable groups) been conducted in terms of the country's national ESIA laws and guidelines?
- Is there adequate documentation of community involvement (especially of the marginalized poor, women, youth, indigenous peoples and other disadvantaged and vulnerable groups), including an overview of the issues raised and their disposition? Are proposed solutions socially acceptable to target groups?
- Did the ESIA process comply with the requirements in Social, Environmental, and Climate Assessment Procedures (SECAP) and relevant IFAD policies?
- Where existing databases, planning studies, other ESIAs, scientific papers, etc., are used as information sources, are the references for these sources given and are technical terms defined where they occur?
- Has the ESIA been reviewed and accepted/approved by the competent national environmental authority?

Guiding questions for environment, social and climate risk screening

IFAD classifies all projects into one of three environmental and social categories (A, B or C) and one of three climate risk classifications (high, moderate and low). Where IFAD is jointly financing a project with other agencies, IFAD will cooperate with the partner agency and agree on a common approach for the assessment and the categorization of the project.
Determination of the category and classification will also depend on the national requirements and the existing national capacity to promote and implement environmental and social mitigation measures. The determination is informed by existing assessments of national frameworks and capacities.

A positive response to any question between 1 and 22 (see questions below) will categorize the activity of the CsCAP as A (trigger an in-depth analysis in the ESIA in case of the buffer area, or for other activity for modification or exclusion). Similarly, a positive response to question 23 to 38 will categorize the CsCAP as B and trigger an ESMP and an overview and mitigation measures. In case all answers are negative, the project will be categorized as C and will not be part of the ESIA or ESMP. This list of questions can be used at different stages of the project design and should be used in conjunction with the respective guidance statements from the SECAP 2017 Edition[156].
The checklists for environmental and social and climate risks will be used as guiding questions for the screening exercise of categorization.

Project name:	**CASP+**		
CsCAP no.:		**Version of checklist:**	
District and Village:		**Date of this version:**	
Checklist prepared by (name, title and institution)			

In completing the checklist, both short- and long-term impacts should be considered. This list of questions can be used at different stages of the project cycle and should be used in conjunction with the respective guidance statements. Capitalize on information based on reports and field visits during design. The details of the elaboration on issues that arise as a result of screening should be clearly articulated in the SECAP review note.

Guiding questions for environment and social screening	Yes/no	Comments/explanation
Category A – the following may have significant and often irreversible or not readily remedied adverse environmental and/or social implications.		
Project location		
1. Would the project develop any wetlands? (Guidance statement 1)		
2. Would the project cause significant adverse impacts to habitats and/or ecosystems and their services (e.g. conversion of more than 50 hectares of natural forest, loss of habitat, erosion/other form of land degradation, fragmentation and hydrological changes)? (Guidance statements 1, 2 and 5)		
3. Does the proposed project target area include ecologically sensitive areas,[157] areas of global/national significance for biodiversity conservation, and/or biodiversity-rich areas and habitats depended on by endangered species? (Guidance statement 1)		

[156] https://www.ifad.org/en/-/document/social-environmental-and-climate-assessment-procedures-secap-
[157] "Sensitive areas" include: protected areas (national parks, wildlife/nature reserves, biosphere reserves) and their buffer zones; areas of global significance for biodiversity conservation; habitats depended on by endangered species; natural forests; wetlands; coastal ecosystems, including coral reefs and mangrove swamps; small island ecosystems; areas most vulnerable to climate change and variability; lands highly susceptible to landslides, erosion and other forms of land degradation, areas that include physical cultural resources (of historical, religious, archaeological or other cultural significance), and areas with high social vulnerability.

Guiding questions for environment and social screening	Yes/no	Comments/explanation
4. Is the project location subjected to major destruction as a result of geophysical hazards (tsunamis, landslides, earthquakes, volcanic eruptions)?		
Natural resources		
5. Would the project lead to unsustainable natural resource management practices (fisheries, forestry, livestock) and/or result in exceeding carrying capacity. For example, is the development happening in areas where little up-to-date information exists on sustainable yield/carrying capacity? (Guidance statements 4, 5 and 6)		
6. Would the project develop large-scale[158] aquaculture or mariculture projects, or where their development involves significant alteration of ecologically sensitive areas?		
7. Would the project result in significant use of agrochemicals which may lead to life-threatening illness and long-term public health and safety concerns? (Guidance statement 14)		
8. Does the project rely on water-based (groundwater and/or surface water) development where there is reason to believe that significant depletion and/or reduced flow has occurred from the effects of climate change or from overutilization? (Guidance statement 7)		
9. Does the project pose a risk of introducing potentially invasive species or genetically modified organisms which might alter genetic traits of indigenous species or have an adverse effect on local biodiversity? (Guidance statement 1)		
10. Does the project make use of wastewater (e.g. industrial, mining, sewage effluent)? (Guidance statement 7)		
Infrastructure development		
11. Does the project include the construction/ rehabilitation/upgrade of dam(s) and/or reservoir(s) meeting at least one of the following criteria? - more than 15 metre high wall; - more than 500 metre long crest; - more than 3 million m^3 reservoir capacity; or - incoming flood of more than 2,000 m^3/s (Guidance statement 8)		

[158] The size threshold to trigger an Environmental and Social Impact Assessment (ESIA) may vary based on the country context and fragility of specific locations. Some countries have regulations on minimum size (usually ranging from a unit area of 10 to 50 hectares) and these will be adopted where they exist. However, where there are no standards, it is proposed to use 25 hectares as an aquaculture unit size to trigger an ESIA.

Guiding questions for environment and social screening	Yes/no	Comments/explanation
12. Does the project involve large-scale irrigation schemes rehabilitation and/or development (more than 100 hectares per scheme)?[159] (Guidance statement 7)		
13. Does the project include construction/ rehabilitation/upgrade of roads that entail a total area being cleared above 10 km long, or any farmer with more than 10 per cent of his or her private land taken? (Guidance statement 10). Will the works entail temporary and/or permanent resident workers?		
14. Does the project include drainage or correction of natural waterbodies (e.g. river training)? (Guidance statement 7)		
15. Does the project involve significant extraction/diversion/containment of surface water, leaving the river flow below 20 per cent environmental flow plus downstream user requirements? (Guidance statement 7)		
Social		
16. Would the project result in economic displacement[160] or physical resettlement of more than 20 people, or impacting more than 10 per cent of an individual household's assets? (Guidance statement 13)		
17. Would the project result in conversion and/or loss of physical cultural resources? (Guidance statement 9)		
18. Would the project generate significant social adverse risk/impacts to local communities (including disadvantaged and vulnerable groups,indigenous people, persons vulnerable to GBV and sexual exploitation and abuse and people with disabilities) or other project-affected parties? (Guidance statement 13)		
Other		
19. Does the project include the manufacture and transportation of hazardous and toxic materials which may affect the environment? (Guidance statement 2)		
20. Does the project include the construction of a large or medium-scale industrial plant?		

[159] The size threshold to trigger an Environmental and Social Impact Assessment (ESIA) may vary based on the country context and fragility of specific locations. Some countries have regulations determining size of irrigation development requiring a full ESIA and these will be adopted where they exist. However, where there are no standards, it is proposed to use 100 hectares as an irrigation development unit size to trigger an ESIA.

[160] Economic displacement implies the loss of land, assets, access to assets, income sources, or means of livelihoods (guidance statement 13).

Guiding questions for environment and social screening	Yes/no	Comments/explanation
21. Does the project include the development of large-scale production forestry? (Guidance statement 5)		
Rural finance		
22. Does the project support any of the above (Question 1 to Question 21) through the provision of a line of credit to financial service providers? (Guidance statement 12)		
Category B – the following may have some adverse environmental and/or social implications which can be readily remedied.		
Location		
23. Does the project involve agricultural intensification and/or expansion of cropping area in non-sensitive areas that may have adverse impacts on habitats, ecosystems and/or livelihoods? (Guidance statements 1, 2 and 12)		
Natural resource management		
24. Do the project activities include rangeland and livestock development? (Guidance statement 6)		
25. Does the project involve fisheries where there is information on stocks, fishing effort and sustainable yield? Is there any risk of overfishing, habitat damage and knowledge of fishing zones and seasons? (Guidance statement 4)		
26. Would the project activities include aquaculture and/or agriculture in newly introduced or intensively practiced areas? Do project activities include conversion of wetlands and clearing of coastal vegetation, change in hydrology or introduction of exotic species? (Guidance statement 4)		
27. Do the project activities include natural resource-based value chain development? (Guidance statements 1, 6 and 12)		
28. Do the project activities include watershed management or rehabilitation?		
29. Does the project include large-scale soil and water conservation measures? (Guidance statements 1 and 5)		
Infrastructure		
30. Does the project include small-scale irrigation and drainage, and small and medium dam subprojects (capacity < 3 million m^3)? (Guidance statements 7 and 8)		
31. Does the project include small and microenterprise development subprojects? (Guidance statements 12 and 13)		

Guiding questions for environment and social screening	Yes/no	Comments/explanation
32. Does the project include the development of agroprocessing facilities? (Guidance statements 2, 6 and 12)		
33. Would the construction or operation of the project cause an increase in traffic on rural roads? (Guidance statement 10)		
Social		
34. Would any of the project activities have minor adverse impacts on physical cultural resources? (Guidance statement 9)		
35. Would the project result in physical resettlement of 20 people or less, or impacting less than 10 per cent of an individual household's assets (Guidance statement 13)?		
36. Would the project result in short-term public health and safety concerns? (Guidance statement 14)		
37. Would the project require a migrant workforce or seasonal workers (for construction, planting and/or harvesting)? (Guidance statement 13)		
Rural finance		
38. Does the project support any of the above (Question 23 to Question 37) through the provision of a line of credit to financial service providers? (Guidance statement 12)		

Guidance for categorization

"Yes" response to any questions between 1 and 22	Environmental and social category is A	Environmental and Social Impact Assessment or an Environmental and Social Management Framework (full or specific) is required depending on availability of information. Also, some specific questions would require the below specific actions: • Yes to question 16 – A Resettlement Action Plan is required depending on availability of information. • Yes to question 17 – A Physical Cultural Resources Management Plan is required that includes provisions for managing chance finds at implementation. • Yes to question 18 – Free, prior and informed consent should be obtained/Free, Prior and Informed Consent Implementation Plan is required depending on whether the affected communities are identifiable. In instances where indigenous peoples are affected an Indigenous Peoples Plan is required. A Social Impact Assessment is required.

		• Yes to question 8 and/or question 15 – A water resources management plan for the project is required. • Yes to question 7, question 9 and/or question 19 – A pest management plan is required.
"No" response to all questions between 1 and 22 and "Yes" response to any questions between 23 and 38	Environmental and social category is B	An environmental and social analysis to develop an Environmental and Social Management Plan (ESMP) is required.
"No" response to all questions between 1 and 38	Environmental and social category is C	No further analysis is required.

In case projects fall under both category A and B, the highest category will be taken as reference. The determination of the project category and classification will depend on the magnitude of impacts and would depend on the scale of such activities; a cautious approach to the concern of cumulative impacts is considered essential. In such cases, the necessary environmental and social analysis and associated budget should be incorporated into CsCAP's budget. Such projects may be considered for category B.

Determining the environmental and social category A, including the extent of assessments and studies to be conducted, will also take into account available information, i.e. recent studies and assessments, including other initiatives in the country, to the extent these are relevant to the proposed project. Declassification (from A to B or from B to C) may also be possible in case negative externalities are being addressed by other projects or activities implemented by third parties.

Guiding questions for climate risk screening

	Yes	No	Additional explanation of "yes" response*
1. Is the project area subject to extreme climatic events, such as flooding, drought, tropical storms or heat waves?			
2. Do climate scenarios for the project area foresee changes in temperature, rainfall or extreme weather that will adversely affect the project impact, sustainability or cost over its lifetime?			
3. Would the project make investments in low-lying coastal areas/zones exposed to tropical storms?			
4. Would the project make investments in glacial areas and mountains zones?			

	Yes	No	Additional explanation of "yes" response*
5. Would the project promote agricultural activity in marginal and/or highly degraded areas that have increased sensitivity to climatic events (such as on hillsides, deforested slopes or floodplains)?			
6. Is the project located in areas where rural development projects have experienced significant weather-related losses and damages in the past?			
7. Would the project develop/install infrastructure in areas with a track record of extreme weather events?			
8. Is the project target group entirely dependent on natural resources (such as seasonal crops, rainfed agricultural plots, migratory fish stocks) that have been affected by in the last decade by climate trends or specific climatic events?			
9. Would climate variability likely affect agricultural productivity (crops/livestock/fisheries), access to markets and/or the associated incidence of pests and diseases for the project target groups?			
10. Would weather-related risks or climatic extremes likely adversely impact upon key stages of identified value chains in the project (from production to markets)?			
11. Is the project investing in climate-sensitive livelihoods that are diversified?			
12. Is the project investing in infrastructure that is exposed to infrequent extreme weather events?			
13. Is the project investing in institutional development and capacity-building for rural institutions (such as farmer groups, cooperatives) in climatically heterogeneous areas?			
14. Does the project have the potential to become more resilient through the adoption of green technologies at a reasonable cost?			
15. Does the project intervention have opportunities to strengthen indigenous climate risk management capabilities?			
16. Does the project have opportunities to integrate climate resilience aspects through policy dialogue to improve agricultural sector strategies and policies?			

	Yes	No	Additional explanation of "yes" response*
17. Does the project have potential to integrate climate resilience measures without extensive additional costs (e.g. improved building codes, capacity-building, or including climate risk issues in policy processes)?			
18. Based on the information available would the project benefit from a more thorough accounting of GHG emission ?			

*The additional explanation, where possible, will provide the justification for classification. Consideration should be given particularly to provide additional explanations for questions 13 to 17.

Appendix 4. Grievance Redress Mechanism

IFAD-supported projects and programmes are designed in a participatory process thus taking into account the concerns of all stakeholders. IFAD works to ensure that all IFAD investments are implemented in accordance with the Fund's policies, standards and safeguards. IFAD considers it equally important that parties adversely or potentially adversely affected by IFAD-supported projects and programmes should be able to bring issues to the Fund's attention.

Project-level GRM

The project team will establish communication channels at field level to file complaints within 6 months after Start-up. Contact information (including contact postal code, phone number and/or email) and information on the process to file a complaint will be disclosed in all meetings, workshops and other related events throughout the life of the project. The project will include in the capacity building program information on the GRM and will organize consultations to determine the most suitable way for beneficiaries and stakeholders to communicate their concerns and ideas (i.e. assess existing national/local formal and informal grievance redress processes).

The project-level GRM and guidelines will be developed for CASP+ taking into account IFAD's corporate Complaints Procedure to receive and facilitate resolution of concerns and complaints with respect to alleged non-compliance of its environmental and social policies and the mandatory aspects of its SECAP. The project will also be responsible for documenting and reporting to IFAD and GCF as part of the safeguards performance monitoring on any grievances received and how they were addressed.
Complaints can be raised directly to the SEPMU/CEP representative at the district level at the concerned project area and the field team should help the complainant fill the complaint ensure the following information is included:

- Name and contact details of the person(s) (and/or their representative) or community affected by CASP+;
- Clear statement of CASP+ adverse impact(s). This includes direct and material harm which can be actual present harm, or harm that is expected in the future;
- Whether the complainants wish to keep their identity confidential.

IFAD's complaints procedure:

IFAD's complaints procedure can be accessed by project-affected people when necessary to manage project-related grievances when these cannot be resolved by the project's Executing Entity or when they fear retaliation. The objective of IFAD's Complaints Procedures is to ensure that appropriate mechanisms are in place to allow

individuals and communities to file complaints with IFAD directly if they believe they are or might be adversely affected by an IFAD project not complying with mandatory aspects of SECAP. IFAD's Complaints Procedure aims to serve as an accountability mechanism with a clear entry point and transparent process for people and communities to raise concerns with IFAD-supported projects and to provide effective sustainable solutions. Its mandate is to: i) facilitate the resolution of complaints from people who may be affected by projects or subprojects in a manner that is fair, objective and constructive; ii) enhance the environmental and social outcomes of projects; and iii) foster public accountability and learning to enhance the environmental and social performance of IFAD and reduce the risk of harm to people and the environment. The Procedure is organized in two complementary functions:

- Problem solving function: to help resolve issues raised about the environmental and/or social impacts of project through a neutral, collaborative, problem-solving approach and contribute to improved social and environmental outcomes of the project.
- Impartial review function: to carry out reviews of IFAD's compliance with its SECAP and other related policies, assess harm done, and recommend remedial actions where appropriate.

The full complaint procedure at IFAD is stipulated in the sections below.

Complaints must concern environmental, social and climate issues only and should not be accusations of fraudulent or corrupt activities in relation to project implementation – these are dealt with by IFAD's Office of Audit and Oversight.

- Fraud and corruption: Email anticorruption@ifad.org or Hotline +39 06 54592888

The complaint procedure does not apply to complaints related to sexual harassment, exploitation and abuse. These complaints are dealt with by IFAD's Ethics Office.

- GBV, including sexual exploitation and abuse: Email ethicsoffice@ifad.org or Hotline: +39 06 5459 2525

Eligibility criteria

To file a complaint for alleged non-compliance with IFAD's social and environmental policies and mandatory aspects of its SECAP, IFAD will consider only complaints meeting the following criteria:

The complainants claim that IFAD has failed to apply its social and environmental policies and/or the mandatory provisions set out in SECAP.

The complainants claim that they have been or will be adversely affected by IFAD's failure to apply these policies.

Complaints must be put forward by at least two people who are both nationals of the country concerned and/or living in the project area. Complaints from foreign locations or anonymous complaints will not be taken into account.

Complaints must concern projects/programmes currently under design or implementation. Complaints concerning closed projects, or those that are more than 95 per cent disbursed, will not be considered.

The process

The complainants should first bring the matter to the attention of the government or non-governmental organisation responsible for planning or executing the project or programme (the Lead Agency), or to any governmental body with the responsibility for overseeing the Lead Agency. If the Lead Agency does not adequately respond, then the matter may be brought to the attention of IFAD. The issue may be brought straight to IFAD if the complainants feel they might be subject to retaliation if they went to the Lead Agency directly.

The Regional Division will examine the complaint and, if necessary, will contact the Lead Agency, or the governmental body with the responsibility for overseeing the Lead Agency, to decide if the complaints are justified. If the complainants request that their identities be protected, IFAD will not disclose this information to the Lead Agency or anyone else in government.

If the complaint is not justified, the Regional Division will inform the complainants in writing.

If the Regional Division finds the complaint is justified and there is proof of actual or likely harm through IFAD's failure to follow its policies and procedures, IFAD will take action. This may consist of making changes to the project/programme, or requiring that the government observes its obligations under the Financing Agreement. IFAD's response will focus bringing the project/programme into compliance and no monetary damages will be available or paid in response to such complaints. The complainants will be informed of the outcome of the issue by the Regional Division.

In all cases, if the complainants disagree with IFAD's response, they may submit a request to SECAPcomplaints@ifad.org and request that an impartial review be carried out by the Office of the Vice-President.

The Office of the Vice-President will decide on the steps to be taken to examine such complaints, including, if necessary, contracting external experts to review the matter. The complainants will be informed of the results of the review.

IFAD will include in its Annual Report a list of received complaints and a summary of actions taken to address them.

How to submit a complaint

A complaint relating to non-compliance with IFAD's Social and Environmental Policies and mandatory aspects of its SECAP can be submitted in any of the following ways:

Download the complaints form (Word) from: https://www.ifad.org/en/accountability-and-complaints-procedures

Send an email to SECAPcomplaints@ifad.org

If you email or mail your complaint, please include the following information:

- Name, address, telephone number and other contact information
- Whether the complainants wish to keep their identity confidential, and if so, why
- Name, location, and nature of the IFAD project/programme (if known)
- How the Complainants believe they have been, or are likely to be, adversely affected by the IFAD-supported project or programme

Complaints sent by mail should be addressed to:
IFAD
SECAP Complaints (PMD)
Via Paolo di Dono 44
00142 Rome, Italy

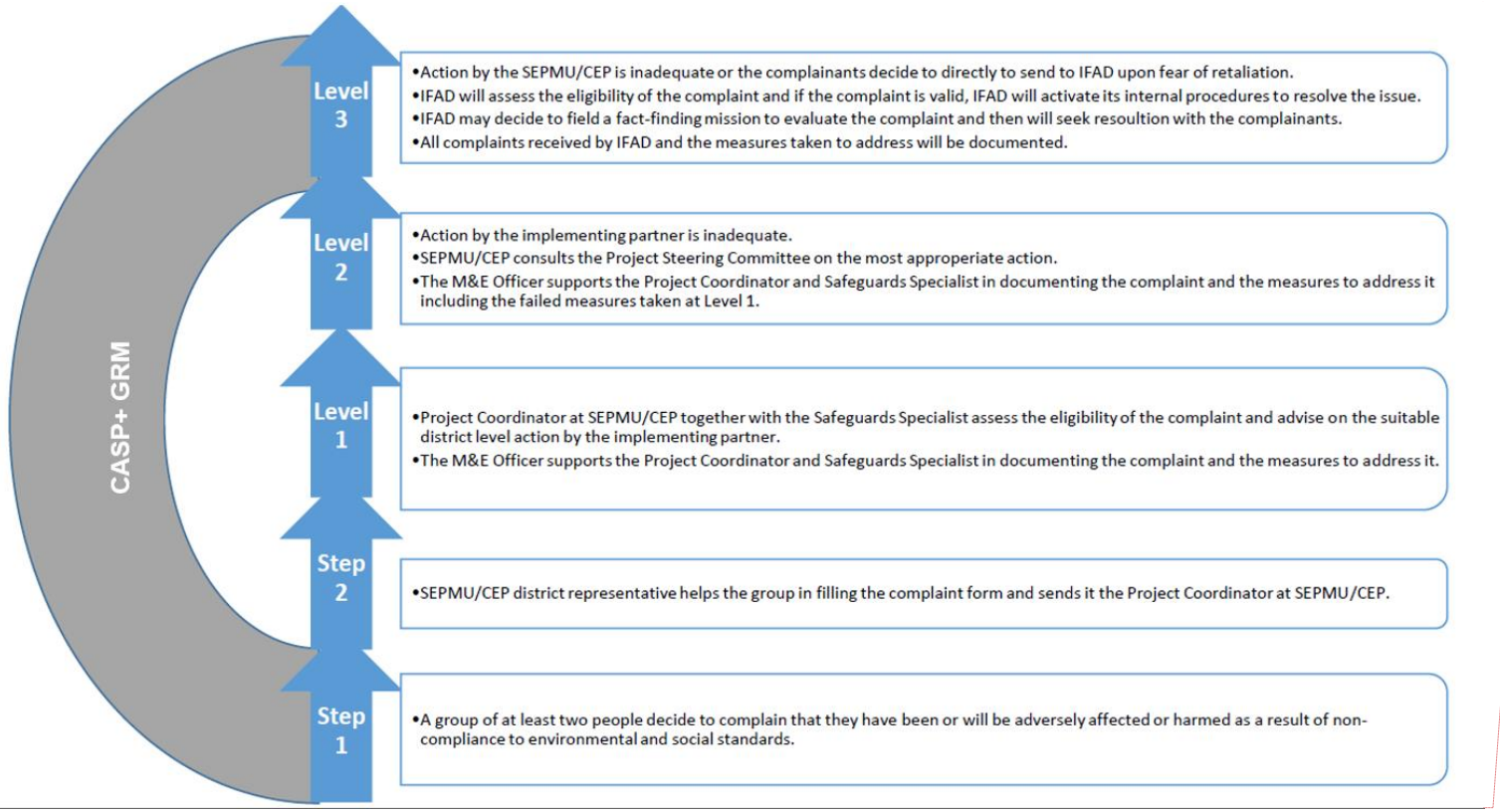

Figure 2 CASP+ GRM

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We need to include GCF IRM

GCF's Independent Redress Mechanism:

In addition to the project's GRM and IFAD's complaints procedure, project-affected people may also access the GCF's Independent Redress Mechanism (IRM). The IRM addresses complaints and grievances from persons adversely impacted by projects or programmes of the GCF. After verifying eligibility, the IRM engages with the relevant parties to explore options for resolving the problems that are raised in the complaint, with an aim to reaching a mutually satisfactory outcome. If parties are unwilling or unable to resolve the issues, the IRM conducts a compliance appraisal to determine whether a compliance investigation is merited, and if so, carries out an investigation to identify any non-compliance with GCF policies or procedures in relation to the complaint and recommends appropriate redress. The IRM monitors any problem solving agreement or compliance recommendations that results from its processes.

Any person or a group of persons, or a community that has been or may be affected negatively by a GCF project or programme may file a complaint. The affected person(s) can authorise their government or representative to file and pursue the complaint on their behalf.

A complaint with the IRM can be filed by:

- Sending it by mail or email;
- Sending a voice or video recording;
- Filling out the online complaints form.

A complaint can be filed in English, or in the local language of the complainant. Where possible, a translation should be provided in English. Otherwise, the IRM will attempt to have the complaint translated and respond in the language of the complainant.

The IRM will provide confidentiality upon receiving a complaint if requested to do so by the complainant. This includes the names and identities of complainants and any designated representatives. Where disclosure may be required to address the complaint, the IRM will consult with the complainant prior to disclosing any confidential information.

Detailed information on the process, channels and eligilibily of complaints can be found here: https://irm.greenclimate.fund/case-register/file-complaint

Appendix 5. Proposed Social Inclusion and Environment and Climate Related Indicators

Social Inclusion Related Indicators

Gender Indicators

Outreach disaggregated by gender, including women head of Households Proposed Indicators shall consider:

Output:

2.1.2 Percentage of women in leadership position (board of committees)

2.1.3 Number and percentage CsCAPs designed in consultation with women.

2.2.2.Number of women accessing improved pasture land under PM plans.

2.2.3 Number of women being selected for JFM Contracts

3.3.1 Number of women receiving trainings on Climate smart resilient technologies

3.3.2 Number of approved individual grants for women

3.3.2 Number of approved group grants from women-led groups

Outcome:

2.1.2 (Number) Percentage of women reporting increased participation in decision making
2.1.3 (Number) Percentage of women reporting increased and more equitable participation in community planning process (CsCAPs)
2.2.2 (Number) Percentage of women reporting increased access to pasture and better management practices
2.2.3 (Number) Percentage of women reporting increased access to forest resurces and management
3.3.1 (Number) Percentage of women reporting adoption of environmentally sustainable and climate-resilient technologies and practices
3.3.2 (Number) Percentage of women reporting improved production and income as a result of accessing grants

Youth Indicators

Outreach disaggregated by age. Proposed indicators shall consider: (i)Youth members of FFS and (ii) number of youth accessing grants and (iii) Youth accessing job and entrepreneurial opportunities along the Value Chains.

Environment and Climate Related Indicators

Outputs

1.1.4 Number of persons trained in production practices and/or technologies
3.1.1 Number of groups supported to sustainably manage natural resources and climate-related risks
3.1.3 Number of persons accessing technologies that sequester carbon or reduce greenhouse gas emissions
3.1.4 Number of hectares of land brought under climate-resilient management

Outcomes

1.2.2 (Number) Percentage of persons/ households reporting adoption of new/improved inputs, technologies or practices
1.2.3 (Number) Percentage of persons/households reporting reduced water shortage vis-a-vis production needs
3.2.1 Number of tons of greenhouse gas emissions (CO2e) avoided and/or sequestered
3.2.2 (Number) Percentage of persons/households reporting adoption of environmentally sustainable and climate-resilient technologies and practices

An indicator on natural resources monitoring (complementary approach of remote sensing and bee monitoring) will be introduced during the start up of CASP+ when validating with the PMU.

Appendix 6: Integrating Agro-Ecological principles in CASP+

Component	Outcome	Output	Sub-output	Activities	Compliance with AE principles[161]	Additional comments
Component 1. Strengthening enabling conditions for transformative climate adaptive natural resources management	Strengthened institutional and regulatory systems for climate-responsive planning and development	**Output 1.a: Capacities of relevant entities for evidence-based joint climate-adaptive natural resources planning, management and monitoring are strengthened**.		Activity 1.1.1: Capacity development of a range of national and local institutions on ecosystem management, integrated NRM, climate change, environmental safeguards, etc.	High	Provide capacity building on community NRM, promote better coordination and policy coherence between different governmental organisations, particularly the environment and agriculture entities, as well as among scientific institutes and local and national government agencies. Promote policy support in the form of incentives and subsidies to small-scale farmers implementing agroecological (AE) practices (in particular the integration of trees and shrubs into agriculture and rangelands) conserving local cultivars and breeds, as well as their wild crop relatives, and conserving other ecosystems services for increased climate resilience. Support to extension services and training on agroecological production and processes, particularly agroforestry and silvopastoralism for climate adaptation and ecosystem restoration. Promote the recognition of farmers as custodians of local varieties through registeries of local varieties and traditional knowledge and ensure fair access and benefit sharing in the case they are selected by the State Variety Testing Commissions for release and patenting. Ensure access to water and land tenure security of small-scale producers, both of which are fundamental for long-term investments in agroforestry for climate resilience. Ensure representation of small-scale producers in water use associations and decentralisation of water infrastructure (check whether this is necessary in project area as in mountaineous region where conflict for water with large-scale farmers downstream may not be an issue).
				Activity 1.1.2: Support research and academia (curricula, enrollment, studies) on climate	High	Promote participatory action research (PAR) methods that actively involve small-scale producers in the development of innovations by sharing knowledge and practically testing together with support of research and extension services.

[161] **-High : compliant, Medium: require tweaking, Low: require substantial changes**

Component	Outcome	Output	Sub-output	Activities	Compliance with AE principles[161]	Additional comments
				resilient NRM and climate resilient animal health		
				Activity 1.1.3: Strengthen animal health institutions and their private organizations' representatives and members to ensure efficient provision of animal health services	Medium	Provision of animal health services based on AE such as: improved nutrition by supporting a diversity of resilient and nutritious grass, as well as other fodder plants and scrub species (including medicinal plants for self-medication by livestock) and when feasible integrating of fodder trees balancing the need for high nutrition value for livestock and of other tree species for soil erosion control; improvement of grazing and stocking practices to avoid overgrazing and degradation; reserve areas for use as a fodder buffer only in case of a particular difficult year with low fodder availability; increase water availability for livestock in the rangeland; improve animal housing and sheds for animal welfare and health; support for local programmes for exchange and improvement of the diversity of animal breeds adequate for agroecology systems and resilient to climate shocks and stresses.
				Activity 1.1.4: Remote sensing for NRM monitoring (pasture, forest, land, river basins, etc.)	High	Ensure public availability of this information and include community mapping in the process (creation and validation).
		Output 1.b: **Relevant evidence-based policy/regulatory framework improved**.		Actiivity 1.2.1: - Review relevant policy and regulatory frameworks and suggest modifications	High	Service providers and project staff to involve a wide array of stakeholders including small-scale producers in the development of suggested modifications (Regulatory Impact Assessment for policy review). Adopt an integrated approach to policy reform, considering climate resilience, food and nutrition security, One Health, etc. Promotion of institutionalisation of carbon accounting linked to good management of pastures and contribution to NDC goals.
				Activity 1.2.2: FAO's to provide climate change analysis and	High	Ensure that FAO is providing analysis in line with the specific project objectives (on livestock, pasture etc.) and focused on CASP+ beneficiaries (participatory)

Component	Outcome	Output	Sub-output	Activities	Compliance with AE principles[161]	Additional comments
				policy dialogue support		
				Activity 1.2.3: Technical assistance for policy review	Medium	Capacity building should include the principles of agroecology and training on participatory policy and planning processes, in particular how to ensure the inclusion of producers (including women and youth). May also require capacity building of producer and other community organisations to increase awareness of their rights according to national and international law and their advocacy skills.
				Activity 1.2.4: Organization of the OIE mission on veterinary legislation	Medium	Mission of OIE (World Organisation for Animal Health) to support improvement of veterinary system and legislation - The results of the OIE evaluation missions, carried out at the request of Tajikistan, indicate that the country's veterinary system does not meet international standards. According to OIE experts, at the TAU Faculty of Veterinary Medicine, the existing infrastructure is completely inadequate for students to gain experience in working with animals, as well as for clinical and laboratory studies. OIE to include local associations and local and internatonal organizations working on agroecology (Slow Food etc.).
				Activity 1.2.5: Improvement of veterinary legislation	Medium	Veterinary legislation to recognize and protect local breeds (e.g. Darvaz Sheep, Pamir Yak etc.). Inclusion of more disadvantaged youth to education at the TAU Faculty of Veterinary Medicine (new curriculum supported by OIE and CASP+). Curriculum should include community-based AE approaches.
Component 2. Climate-sensitive investments in climate change vulnerable rural areas	Improved management of land or forest areas contributing to emissions reductions	**Output 2.a:Climate-sensitive Community Action Plans (CCAP) are designed, implemented, monitored and evaluated**	***Sub-output 2.a.1**: CCAPs are designed and validated by relevant local institutions and relevant public bodies*	Activity 2.1.1: Designing of CsCAPs and validation by relevant local institutions	High	Ensure active participation of the community members in state of highest vulnerability, particularly women and youth, throughout the development of the CsCAPs. Develop set of criteria/conditions for the investments that ensures they are in line with AE principles (increased resource use efficiency, recycling, synergies, diversification and resilience). The self-awareness and leadership trainings are crucial for women and youth as they will increase their confidence and allow them to participate more actively in decision-making, as well as adopting leadership roles in community organisations.
				Activity 2.1.2: Mobilization of Community institutions	High	In the case of horticulture and fruticulture as alternative income generating activities, it may be necessary to encourage the establishment of specific associations in the project area. Encourage associations to develop and maintain inventories of the local cultivars and animal breeds they conserve to ensure the recognition of their rights and benefit sharing in the case of the use

Component	Outcome	Output	Sub-output	Activities	Compliance with AE principles[161]	Additional comments
						of those genetic resources. These inventories could be developed together with national research institutions.
				Activity 2.1.3: Recruit and deploy CEP expert, technical and support staff	Medium	Ensure the staff has experience in leading AE processes or that their AE capacities are developed prior to the engagement with the communities.
				Activity 2.1.4: Pasture User Union establishment and set up in 250 villages.	High	Ensure that the unions are aware of their rights according to international and national laws, as well as of existing Tajik initiatives and programmes supporting small-scale producers and related organisations. Increase their advocacy skills (particular focus on youth) to be able to participate actively in policy dialogue. If not already familiarised, introduce them to agroecology. Consider the formation of a national umbrella organisation of PUUs to strengthening small-scale farmers' role in policy.
				Activity 2.1.5: PUA establishment and strengthening for 250 villages	High	
				Activity 2.1.6: PUU establishment and set up (facilitators, equipment, land titling...) - IFAD12 financed (150 villages)		
				Activity 2.1.7: PUA establishment and strengthening - IFAD12 financed (150 villages)		

Component	Outcome	Output	Sub-output	Activities	Compliance with AE principles[161]	Additional comments
				Activity 2.1.8: CsCAP planning and design (GCF financed - 250 villages)	High	
				Activity 2.1.9: CsCAP planning and design IFAD12 financed (150 villages)	High	
				Activity 2.1.10: Strengthening local institutions capacity to monitor and evaluate CsCAPs- GCF financed (250 villages)	High	
				Activity 2.1.11: Strengthening local institutions capacity to monitor and evaluate CsCAP (IFAD12 financed (150 villages)	High	
			***Sub-output 2.a.2**: Climate-sensitive CCAPs are implemented by local institutions*	Activity 2.2.1: CsCAP implementation and monitoring	Medium/high	Based on Jamoat Council, Village Organizations councils, Common interest groups (same approach used in CASP)
				Activity 2.2.2: Undertake mechanism for	Medium	Assess feasibility of a decentralised funding mechanism managed by the community organisations themselves. Proposals for income-generating sub-projects, such as farm machinery or milk collection centres, should clearly show that a minimum % of the community

Component	Outcome	Output	Sub-output	Activities	Compliance with AE principles[161]	Additional comments
			in timely and effective manner.	CsCAPs financing		would benefit. Community Driven Development (CDD) as a potential form in which communities also have direct control over key project decisions by managing community development funds (CDFs). (More information in the IOE analysis of IFAD projects including CDD : https://www.ifad.org/documents/38714182/41898849/ESR+CDD+-+final+with+cover.pdf/d2e08746-c023-da36-3c3d-2b50ab0ab90e)
				Activity 2.2.3: Prepare and implement Pasture action plan	High	Ensure that Pasture Action Plans are AE, supporting practices such as: establishment and/or strengthening of PUUs for rangeland rehabilitation and management including the management of water points; rehabilitation of degraded rangelands with native nutritious grasses, shrubs and trees (assisted natural regeneration by collecting seeds, multiplying or growing seedlings, and broadcasting of seeds and planting of seedlings of local multi-benefit species) to reduce grazing pressure in natural forests; protecting areas from grazing to allow for recovery if needed and agreement on stocking density; rainwater harvesting and increased soil water storage techniques to increase water availability for livestock in the rangeland (spreading of water harvesting and other livestock water points throughout the rangeland to avoid overcrowding and grazing around a few points, divert water to drinking troughs away from the water source, when relevant, to avoid over trampling around and contamination of the water source); improvement of grazing and stocking practices (agree on sustainable rotational grazing rules among all rangeland users to avoid overgrazing and degradation; reserve areas for use as a fodder buffer only in case of a particular difficult year with low fodder availability; promote participatory biodiversity monitoring by the PUUs. Build the institutional and community capacity to protect and regulate forests against illegal activities.
				Activity 2.2.4: Design and implement climate adaptive infrastructures investment (road rehab,	High	Where possible use this opportunity to provide vocational training and jobs to beneficiaries, particularly youth. Adopt ecosystem and watershed-based approaches to river basin rehabilitation.

Component	Outcome	Output	Sub-output	Activities	Compliance with AE principles[161]	Additional comments
				river basins rehabilitation)		
				Activity 2.2.5: Design and implement Forestry action plan	High	Establishment or strengthening of Joint Forest Management (JFM) groups for forest and woodland conservation and management; participatory diagnostic of forest resources, their potential ecosystem services status, uses and drivers for deforestation and forest degradation and participatory development of forest or woodland management plans; conservation and rehabilitation of forest ecosystems services (demarcation, support for community tree nurseries and tree planting of native endangered and multi-beneficial tree species, use of Assisted Natural Regeneration (ANR) techniques on lands with forest vocation (along contour lines on slopes and upper parts of watersheds and along water courses protecting water provisioning and soil conservation services, habitats for forest and woodland dependent biodiversity, areas important for forest carbon sinks etc.)); raise awareness of the negative impacts of deforestation and overexploitation of natural forest resources and support community management and sustainable harvesting of forest resources and products (wood, roots, fruits, nuts, honey, mushrooms, MAP, etc.). Particular attention should be paid to the conservation of native fruit and nut tree wild relatives, many of which originate in and are in danger of extinction in Tajikistan and harbour a wide array of useful traits such as climate and pest resilience. In addition to JFM, renewable energy technology (RET) for heating and cooking should be promoted to reduce pressure on forests. The socio-cultural factors related to the use of fuelwood should be considered in the choice of alternative RETs.
Component 3: Strengthening livelihoods for enhanced resilience through market based approaches		**Output 3.1: Improved environment for agribusiness**		Activity 3.1.1 Studies, market and business opportunity assessment	Medium	As opposed to identifying and promoting specific value chains, identify and develop market opportunities for a wide array of agroecological produce produced on rangelands, in mixed home gardens (fruit, vegetables and produce from small livestock) and in forests (Non Timber Forest Products) if sustainably harvested, including adapted local varieties such as apricots, apples, grapes, pears. Value addition through local processing (i.e. production of fruit juice, jams, drying of fruit, leather products, yoghurt, cheese, wool), labelling and marketing of produce as specific alternative income generating activities for women and youth should also be promoted. Promoting markets for AE produce could include public procurement of AE produce for school feeding programmes,

Component	Outcome	Output	Sub-output	Activities	Compliance with AE principles[161]	Additional comments
						promotion of local and regional farmes markets for small-scale producers, support for innovations in linking consumers and producers of agroecological products reducing intermediary costs, shortening supply chains and building circular and solidarity economies (e.g. systems for food baskets ordered online directly from producer groups, organization of local farmers' markets, Community Supported Agriculture (CSA)), promotion of Participatory Guarantee Systems (PGS) (a very economically accessible and grassroots way of certifying AE produce), linking producers to renowned chefs and other celebrities in Tajikistan for procurement but also championing the consumption of AE produce from small-scale farmers, subsidies and incentives for AE production to support preferential prices. In order to promote local varieties it may be necessary to support awareness-raising amongst consumers on their superior taste, nutritional qualities and their cultural identity. With particular regard to meat identify a number of potential markets (local, national and international) that allow producers to get fair prices for their produce.
				Activity 3.1.2 FAO's TCP2 for capacity development for agrifood VC marketing platforms	Medium/high	Ensure inclusion of communities, women, youth in the platforms. Make sure the platforms are not coming from a top-down decision making but from willingness from farmers. Do not impose platforms without any pre-existing structure and/or existing production.
				Activity 3.1.3 Policy dialogue through agribusiness platforms	Medium	Service provider (or extension services) to ensure a transparent process.
				Activity 3.1.4 Support to national platforms	High	
				Activity 3.1.5. Support to local platforms	High	
				Activity 3.1.6 Improvements to the policy	Medium	Service provider to include communities and farmers' will and need in Regulatory Impact Assessment (RIA) to support the draft of new/modified existing laws.

Component	Outcome	Output	Sub-output	Activities	Compliance with AE principles[161]	Additional comments
				and regulatory frameworks regarding agribusiness development		
		Output 3.2: Enhanced Livestock productivity		Activity 3.2.1 Undertake breed improvement through Artificial Insemination	Medium	Due to their adaptability to local conditions and food cultures, the use of local animal breeds should be prioritised. Furthermore, combining livestock species that have complementary grazing behaviours can increase overall biomass harvesting and productivity, while reducing health risks related to animal parasitism. Agroecological breeding traits to be considered include reproductive capacities, functional longevity, and health and behavioural traits. The skills to undertake artificial insemination at community or producer group level should be promoted to ensure accesibility of the technology for the duration required to improve the breeds. Breeding efforts should focus on the co-creation of knowledge and close collaboration of farmers and researchers (including relevant ministries) to select the best breeds for particular circumstances. As opposed to centralized national breeding schemes, community-based breeding programs can help to improve locally adapted genetic resources whilst at the same time empowering and considering the specific needs of producers.
				Activity 3.2.2: Establish Off-Farm Mating stations	Medium	Ensure the ownership by local communities and the sustainability of this type of infrastructure (physically and technically).
				Activity: 3.2.3: Train private veterinarians	Medium	If possible choose individuals, including women, from the local communities to offer job opportunities particularly for local youth. Training of local veterinaries together with local less qualified young technicians.
				Activity 3.2.4: FAO TCP 3 Techncial Assistance to Design Farmer Field Schools	High	Ensure that the service providers undertaking the FFS have in-depth experience of agroecology or are trained in it prior to carrying out the FFS.
				Activity 3.2.5: Conduct Pastoral and	High	Focusing both on livestock (including milk), alternative on-farm income generating activities like mixed home gardens (biointensive market gardening, orchards and small livestock), processing and marketing. The methods taught should be AE in nature (recycling,

Component	Outcome	Output	Sub-output	Activities	Compliance with AE principles[161]	Additional comments
				Farmer Field Schools		efficiency, synergies, diversity), i.e. supporting the development of silvopastoral systems particularly on degraded and steep areas to prevent erosion, provide nutritious food sources and shade for livestock; mixed farming with: a) biointensive market gardening (achieving maximum yield on small areas whilst increasing soil fertility) with production of high-value fruits and vegetables (promotion of local cultivars as they require fewer external inputs and are more adapted to the local biotic and abiotic stresses), accompanied by development of small-scale irrigation (sprinkler and drip) and greenhouses, b) restoring and developing orchards focusing on traditional local fruit and nut varieties that are climate and pest resilient, accompanied by support in grafting and production of seedlings (nurseries as potential IGA) and processing facilities and practices c), small livestock (eggs, meat, milk) for additional income, improved household-level nutrition and manure for compost production for market gardens, d) general rehabilitation including integration of wind barriers to create microclimates, that acts as fencing and to provide additional sources of fodder, fuel and food. In order to ensure the availability and accesibility of agroecological equipment for the home gardens and to provide additional local business opportunities for youth, the FFS should provide wood work, soldering and equipment design and production training. Whilst men are predominantly involved in fruit production, women tend to do the processing so special attention should be given to its promotion. In order to ensure subsequent scaling out of the practices amongst producers beyond those attending the FFS and to facilitate intergenerational knowledge exchange (some older farmers have a lot of knowledge on sustainable mixed farming and use of local cultivars), farmer-to-farmer exchange should be promoted through the PUU and other common interest groups, as well as visits to particularly successful and innovative farmers. These innovative farmers could further be supported to receive other farmers or aspiring farmers, particularly young individuals, for specific periods of time (e.g. one month) to work on the farm and learn the agroecological practices through hands-on experience.
				Activity 3.2.6: Establish Demonstration	High	Consider demonstration plots developed by particularly knowledgeable and innovative local farmers and support farmer-to-farmer exchange to promote adoption by other farmers. Identify

Component	Outcome	Output	Sub-output	Activities	Compliance with AE principles[161]	Additional comments
				plots for fodder production		local fodder tree varieties with high nutritional and medicinal value, as well as climate resilience. Agroforestry systems such as silvopastoralism, with fodder trees
				Activity 3.2.7: Promote links between farmers and research and extension services	High	In the case of fruticulture, this could include the Tajikistan apricot centre, as well as the Institute of Horticulture and Vegetable Growing of the Tajik Academy of Agricultural Sciences with the aim of promoting exchange of expertise among farmers, forest dwellers, researchers and policymakers (Results and lessons learned to feed activity 1.1.2).
		Output 3.3: Strengthened value chains most vulnerable to climate change		Activity 3.3.1: Market assessments for specific value chains		See 3.1.1
				Activity 3.3.2: Meetings with private sector for establishing linkages	Medium	Identify private sector actors that are interested in supporting agroecological produce and approaches promoting the territorial identity of the product.
				Activity 3.3.3: Organize Common Interest Groups around selected value chains	Medium	Horticultural and fruiticulture associations. See 3.1.1
				Activity 3.3.4: Procurement and distribution of equiment and facilities for production and processing	Medium	In the case of equipment (i.e. colinear and oscillating hoes, broadforks, etc. for biointensive market gardening) for home gardens, promote its local production as much as possible as an income-generating alternative for youth. Facilities for production could include storage and processing facilities for fruits, vegetables, meat and milk. Support to vehicles for transportation to market may also be required.
		Output 3.4: Diversifying Liveihoods for vulnerable households		Activity 3.4.1: Provision of Business advisory servcies for	High	In particular for youth vocational training in development of farm equipment and small-scale infrastructure (greenhouses), as well as businesses linking producers and consumers through labelling, logistics, transport and marketing, including through e-platforms. Use all infrastructure development as an opportunity to provide

Component	Outcome	Output	Sub-output	Activities	Compliance with AE principles[161]	Additional comments
				off-farm livelihoods		jobs to locals and provide vocational training. In the context of rangeland rehabilitation and reforestation, provide support to the development of nurseries of native (and endangered trees) to support the ecosystem restoration efforts.
				Activity 3.4.2: Provision of productive assets	Medium	As the agroecological approach tries to reduce the external inputs required for production the focus should be on providing training in producing own inputs such as high-quality compost, seeds, tree saplings, etc.
				Acitivity 3.4.2: Promote markets for biodiverse agroecological produce	High	Raise awareness amongst policy makers, private sector and consumers of the nutritional, taste and cultural benefits of diverse agroecological produce (including through AE champion chefs and celebrities), including through biodiversity fairs celebrating the contribution of farmers to agrobiodiversity (possible service provider includes Slow Food already present in the country and willing to collaborate with IFAD on CASP+)
Project Management Component						Promote SSTC and exchange of knowledge amongst different farmers organisations in Tajikistan. Support farmer-led knowledge exchange networks.

Appendix 7: Roles and responsibilities

This Appendix reports roles and responsibilities of the project personnel.

a. Stakeholders identification

Level	Institutions	Responsibility
National	**SEPMU** **CEP-CIIP** **FAO**	• Oversee development and implementation of the ESMP and ESIA • Enforcement of laws and regulations relevant for project implementation on ESS • Implementation of the Environmental and Social Management Plan for sub- projects • Set up GRM, monitor and address grievances related to the project • Disclose relevant safeguard documents on CEP, SEPMU and project website • Implement the Stakeholder Engagement Plan (SEP) • Monitor preparation and development of ISEA • Summarize the environmental and social issues related to project implementation in regular progress reports. • Coordinate and liaise with IFAD supervision missions regarding social safeguard aspects of project implementation. • Prepare/design sensitization training and tools for provincial / district level staff • Coordinate M&E activities to capture ESS aspects • Prepare Annual Environmental and Social Progress Reports
District Level - Jamoat	**SEPMU staff** **Community facilitators** **Gender specialists** **PMU**	• Consultation and mobilization of communities • Prepare, implement, update and monitor the Stakeholder Engagement Plan of the sub-projects. • Prepare all communication and visibility tools (i.e. brochures, leaflets, banners, posters, meeting announcements etc.) that will be used to inform local communities. • Oversee the process for printing and dissemination of the communication/visibility tools as well as planning and organization of public events and consultation meetings with Project beneficiaries. • Prepare periodic reports on all communication and visibility activities realized under the Project to PMU to be submitted to IFAD as a part of the monitoring process. • Communicate with local stakeholders including women and youth and vulnerable groups

Community consultation: Community facilitators will be responsible to inform on key criteria related to poverty and vulnerability set for pro-poor participation. (ii) raise awareness; (iii) mobilization and proper explanation of the project activities including the targeting and gender/social inclusion principles, the overall responsibility will stay with the gender and social inclusion experts of PMU (see ToRs in the PIM). The SI expert will

also be responsible to form and train field staff (on a Training of Trainers – ToT basis) on how best to conduct the above-mentioned exercises using the most appropriate methodologies.

The **Gender and Social Inclusion specialist PMU** will Coordinate capacity building and training sessions on gender-sensitive interventions for project staff. The training should also include specific information on safeguard instruments for avoiding GBV, SEA and key information about GRM. Specifically for social inclusion and gender awareness, the project will invest in capacity building activities for project staff (PMU and implementation partners) to ensure that participatory and gender responsive methodologies are applied throughout the project lifetime.

Capacity development. The PMU will organise an environmental and social training. The training will be provided to the project staff and other staff engaged in the Project. The scope of the training will cover general environmental and social awareness and the requirements of the ESMF, with special emphasis on sensitizing the project staff to the environmental, social and genders aspects.

Monitoring: The overall objective of environmental and social monitoring is to qualitatively and quantitatively measure effectiveness of mitigation measures, and develop appropriate responses to incompliances with Project standards, and emerging environmental and social issues. Monitoring will be carried out to ensure that all Project activities and mitigation measures comply with the national legislation and the SECAP standards. The main objectives of developing a monitoring program and defining parameters are to:

- Control that all mitigation measures are in place,
- Measure effectiveness of the mitigation measures,
- Provide mechanisms for taking timely action when unexpected environmental and social incidents are encountered,
- Identify training requirements at all levels of the organizational structure.

Social Monitoring will be the responsibility of the gender and social inclusion experts and M&E person, who will take part in monitoring the compliance and performance of the project activities with the ESMF requirements. The incumbent will be responsible for conducting relevant assessments, developing corrective actions and presenting them to the Implementing entity and IFAD.

IFAD will supervise the execution of CASP+ with regular supervision and implementation support missions. The Fund will ensure the quality of the project deliverables, adherence to environmental, climate and social safeguards, undertake procurement reviews and ensure fiduciary risk management, assess project performance and undertake value for money analysis. IFAD will apply its georeferenced protocol to monitor investment progress and impact.

Appendix 8: Stakeholders engagement

This Appendix refers to the stakeholders engagement measures described in **Annex 7**.

Stakeholders identification. The activities to be undertaken under CASP+ are cut across a number of domains in rural development in Tajikistan. Hence, the project will have a wide base of stakeholders that will be directly or indirectly impacted by the project and another set of stakeholders that the project will need to coordinate with in order to execute the planned activities in the most efficient manner.

During the concept note and the full design stages, a stakeholder mapping was done in order to ensure that the consultation process is inclusive. In addition to line ministries, the following are the main stakeholders mapped at this stage with the methods of engagement that are included in CASP+ budget:

Stakeholder	Link to CASP+ Components	Method of Engagement
The Committee for Environmental protection (CEP)	Component 1, 2, 3	CEP is the GCF's National Designated Authority (NDA) and an executing agency of the project. Coordination with CEP will be extensive and will include sub-components that are executed by the SEPMU. Coordination will also be for IFAD-funded activities not only GCF-funded activities.
Food and Agriculture Organisation (FAO)	Component 1, 2, 3	FAO is a co-financier of CASP+ on outputs 1.1, 1.2 and 3.1. Like CEP, coordination with FAO will be extensive. In addition, potential synergies between CASP+ and ongoing FAO projects will be identified.
Pasture Meliorative Trust (PMT)	Component 1, 2	CASP+ will strengthen the capacities of the PMT in order to help it fulfil its mandate of enforcing the Pasture Law and providing technical assistance to PUUs, PUAs and PCs. The PMT will also pasture management investments and will support the implementation and monitoring of Pasture Management Plans (PMPs) planned under component 2.
Pasture Users Union (PUU)	Component 1, 2	In addition to their engagement in the activities related to the PMT, the PUUs will play a major role in monitoring NRM. The PUUs will send quantitative and qualitative data on pasture management to the PMT and the Land Geodesy department. After verification of the data, it will then be shared with the Remote Sensing Unit of CASP+, housed at CEP. Under component 2, the project will also help with the establishment

Stakeholder	Link to CASP+ Components	Method of Engagement
		and registration of PUUs.
Pasture Users Associations (PUAs)	Component 1	CASP+ will strengthen the capacities of the PMT in order to help it fulfil its mandate of enforcing the Pasture Law and providing technical assistance to PUAs. The PMT would then help the PUAs through helping in the roll out of community-based pasture governance mechanisms and providing training and technical backstopping. CASP+ will ensure that PUAs are consulted in activities related to PMT.
Pasture Commissions (PCs)	Component 1	CASP+ will strengthen the capacities of the PMT in order to help it fulfil its mandate of enforcing the Pasture Law and providing technical assistance to PCs. The PMT would then help the PCs through helping in the roll out of community-based pasture governance mechanisms and providing training and technical backstopping. CASP+ will ensure that PCs are consulted in activities related to PMT.
Tajik Agrarian University (TAU)	Component 1, 3	CASP+ will provide technical assistance to TAU to integrate climate change aspects in a new Master's curriculum that the University intends to develop, to complement the existing Bachelor's programme on Pasture Management developed with the support of IFAD's LPDP. The project will provide technical expertise for the development of the masters curriculum, but also financial support to cover the costs related to the international accreditation of the curriculum. The project will also partner with TAU as well as SEABAI to provide training for 50 young technicians on AI.
Tajik Academy of Agricultural Science (TAAS)	Component 1	CASP+ will provide technical assistance to TAAS to develop new education curricula for training of climate change specialists, and for the review of existing post graduate curricula for agronomists, foresters, zootechnicians and veterinarians, to streamline ecosystem management and climate change aspects in the tuition programs.
Forest Research Institute	Component 1	Alongside TAU and TAAS, the Forest Research Institute will receive financial support to to (i) develop climate sensitive technical innovations that will be disseminated at community level in the scope of extension activities (demonstration plots and FFS), and to (ii)

Stakeholder	Link to CASP+ Components	Method of Engagement
		generate evidence and lessons learnt on climate smart practices for feeding in policy dialogue. CASP+ will launch bi-yearly calls for proposals and research projects that are in line with the project strategy.
State Enterprise for Capacity Development	Component 1, 3	CASP+ will build on climate resilient technologies and innovations that have been tested, adapted and validated by research institutions under Component 1 through field demonstrations established in partnership with the State Enterprise for Capacity Development who already has some demonstration sites in the field.In order to allow farmers to access these demonstrations, field days will be organized and facilitated by the State Enterprise for Capacity Development. An MoU will be signed for this purpose.
National Veterinary Authority	Component 1	CASP+ will assist the National Veterinary Authority in providing veterinary public health services such as disease surveillance and vaccination against Transboundary Animal Diseases Zoonoses through an annual contribution to the purchase of vaccines and provision of technical assistance and equipment for the surveillance system.
Tajik Veterinary Association (TVA)	Component 3	CASP+ will support TVA to help establish a private veterinary service. The project will sign an MoU with TVA. TVA's responsibility will include the replication of training programmes to other regions of Tajikistan, the development of district veterinary associations, and the preparation of the conditions for establishing a Veterinary Statutory Body in the country in accordance with the OIE's recommendations. TVA will also be responsible for the development of a system of continuing veterinary education, for which the project will provide payment for 1 staff unit of a specialist on veterinary education. Furthermore, the TVA will actively participate in the selection of veterinarians for their participation in project activities in the field.
State Enterprise for Animal Breeding and Artificial Insemination (SEABAI)	Component 1, 3	CASP+ will improve the outreach of breeding services provided by SEABI to areas and communities targeted by the project through the provision of additional equipment. The project will also partner with SEABI and TAU

Stakeholder	Link to CASP+ Components	Method of Engagement
		to provide training for 50 young technicians on AI.
Agency for Land Management, Geodesy and Cartography	Component 1	As part of remote and participatory natural resources monitoring and management, the project will build strong linkages between the Agency for Land Management, Geodesy and Cartography of the Republic of Tajikistan and CEP who are responsible for preventing further land degradation to ensure smooth flow of information.
National Platform for Climate Change Adaptation	Component 1	CASP+ will support this platform through policy briefs and workshops for the integration of policy in climate policy processes such as the NDC enhancement process, the GCF Readiness projects and the NAP process
Donor Coordination Council (including development partners)	Component 1, 2, 3	CASP+ will support the Donor Coordination Council through policy briefs and knowledge management as well as coordination with other ongoing projects seeking synergies during implementation. CASP+ will cooperate with other donors as well as other development partners to ensure that CASP+ can complement ongoing efforts.
Ministry for Economic Development and Trade (MEDT)	Component 1	In collaboration with MEDT, CASP+ will carry out analyses of agro-industry activities from a Green Economy perspective and hold a validation workshop with all stakeholders. MEDT will also receive capacity development on Green Economy concepts by CASP+.
Productive Alliances	Component 3	CASP+ will identify and create 17 Productive Alliances between groups of smallholder farmers on the one hand, and private sector actors, in particular aggregators and processors on the other hand, to enable mutually beneficial business partnerships on selected livestock value chains (dairy, poultry and beef). The project will also strengthen the technical and business capacities of producers in the Productive Alliances.

Engagement activities. Below is provided a list of activities and stakeholders to engage during implementation:

Stage	Objectives	Key activities	Stakeholders
Engagement	To meet key stakeholders and introduce them to the project and	Meetings with key stakeholders to facilitate the broader stakeholder's	Government Ministries and

Stage	Objectives	Key activities	Stakeholders
	Grievance Redress Mechanism (GRM) Process and to disclose the GRM as well as other project documents in the public domain to all interested and affected stakeholders, To gather issues of concern and through this identify a list of potential negative and positive impacts	engagement process, Dissemination of engagement materials (background information documents, posters, media notices etc.), Consultations through training workshops with GRM focal points, and all other stakeholders Feedback from stakeholders.	Departments at all levels Communities, Local authorities, PUUS/ Associations Local Leadership /Village committees Community representatives including all social groups
Disclosure of the Grievance Redress Mechanism (GRM) and other project specific Reports (e.g. ESIA, ESMP)	To expose the stakeholders to the developed GRM and other project specific Reports.	Disseminate the GRM and other project specific Reports to all stakeholders, Expound the contents of the GRM and other project specific Reports to all stakeholders	Government Ministries and Directorates Communities Local Authorities (PUUs, VOs) Local Leadership/village committee Women and youth representatives General Public

Public Consultation Meetings: Meetings can be organized for document disclosure and information sharing and information verification. Meetings will be announced to the public and all other stakeholders at least one week in advance, through local newspaper advertisements and on the web. Meetings are organized in places and conditions suitable for vulnerable groups. Participant list including contact information will be kept in the meetings.

Disclosure: The website of the Project should be used to disclose and validation of the E&S documents in both Tajik and English. The hard copies of the CASP+ documents will be available at (PMU) central and local offices. E&S documents will be disclosed at least 30 days in advance of the approval decision on these subprojects.

- Websites of Executing Entities;
- Local media ads (at least three local newspapers); and
- Notifications to be sent to villages/ Jamoat ad be displayed in a public location in communities.

Call for Feedback: Call for feedback will be made to stakeholders through above-mentioned channels will have the following content by the implementing agency:

- Brief information about the project
- Disclose process and the importance of participation
- Information on stakeholder engagement and grievance mechanism
- Call for cooperation on participation of all stakeholders, including vulnerable groups
- Contact information

CASP+ will ensure full engagement with all stakeholders through:

1. Consultations with communities on CASP+ strategies and actions to ensure free, prior and informed consent and to gather suggestions and proposals during the development and implementation of CsCAPs;
2. Analysis with stakeholders considered socially vulnerable (women and traditional communities) to understand their specific circumstances and concerns related to SECAP principles;
3. Periodic meetings with stakeholders to evaluate project actions, open communication on any complaints about the operation, and suggest modifications and adaptations;
4. Operationalisation of the Grievance and Redress Mechanism (GRM) and addressing complaints in a consultative manner;
5. Regular meetings of the Project Steering Committee;
6. District level meetings with stakeholders acting at local and regional levels in the scope of the project to evaluate the M&E processes of the strategies and actions;
7. Design and conduct baseline study; results will be shared with stakeholders in periodic meetings;
8. Interim and final impact evaluations presented to key stakeholders;
9. Sharing and dissemination of knowledge, best practices and lessons learned at the national and international levels during events, workshops and conferences;

The project will also communicate and coordinate with the following stakeholders in order to ensure smooth implementation:

Stakeholder	Relevance to CASP+	Method of Engagement
Village organizations	Component 2	The participatory approach taken by CASP+ with regards to the development of the Climate-sensitive Community Action Plans (CsCAPs) requires consultations of all stakeholders at the local and community levels. The key stakeholders identified at design- in addition to others that could be invited- will be involved in the process of identifying the main challenges in a district,
Water Users Associations (WUA)	Component 2	
Forest Enterprises	Component 2	
River Basins Councils	Component 2	

Stakeholder	Relevance to CASP+	Method of Engagement
Local Administration	Component 2	selection of villages, mobilizing communities to develop the CsCAPs, implementing the CsCAPs and monitoring and evaluating them.
Environmental Protection offices	Component 2	
Emergency Committees	Component 2	

Proposed strategy to incorporate the view of vulnerable groups

A process of informed consultation will be used to seek the views of vulnerable or disadvantaged groups. Project preparation will involve informing them about the project, identifying their views, obtaining their broad community support, and developing project design and safeguard instruments. The following may be included:

- Sharing project objectives and activities with vulnerable or disadvantaged communities;
- Assessing and avoiding potential adverse effects;
- Exploring and enhancing potential project benefits;
- Assessing (potential) conflicts with other communities and avoiding them;
- Obtaining broad community support for the project;
- Monitoring and evaluating vulnerable or disadvantaged groups' participation and consultation during project implementation.
- Vulnerable or disadvantaged groups should receive project information in an appropriate format. Community members of all generations and socioeconomic backgrounds should be included, including women and members of different generations and social groups.