



**Stakeholder Engagement Plan
(Rev.7)
Big Almaty Ring Road (BAKAD)
Project
Volume VI**

April 2019
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BAKAD PROJECT

Stakeholder Engagement Plan

(Rev. 7)

Volume VI

Prepared for the BAKAD Consortium

April 2019

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LIST OF ACRONYMS

Acronym	Full name
ADB	Asian Development Bank
ASAP	As soon as possible
BAKAD	Big Almaty Ring Road
SPV	Special Project Vehicle
EBRD	European Bank for Reconstruction and Development
EHS	Environment, Health and Safety
EIA	Environmental Impact Assessment
EPC	Engineering, Procurement and Construction
ERM	Environmental Resources Management
ESAP	Environmental and Social Action Plan
ESIA	Environmental and Social Impact Assessment
FGD	Focus Group Discussion
FSS	Field Social Survey
IDB	Islamic Development Bank
IFC	International Finance Corporation
MP	Management Plan
NTS	Non-Technical Summary
PAP	Project Affected Person
RO	Rural Okrug
RoK	Republic of Kazakhstan
SEP	Stakeholder Engagement Plan
SIA	Social Impact Assessment
SAoI	Social Area of Influence
TEO	Feasibility Study

This document has been prepared by ERM Eurasia Limited ("ERM" or "Consultant") for the Consortium of companies Alarko Alsim Tesisleri ve Ticaret A. Ş. ("Alarko"), Makyol İnşaat Sanayi Turizm ve Ticaret A. Ş., Korea Expressway Corporation and SK Engineering & Construction Co. Ltd. (hereinafter referred to as "BAKAD Consortium" or "SPV").

The main purpose of the BAKAD road construction is to create a ring road at the intersection of international corridors "Khorghos-Almaty-Beshkek-Taraz-Shymkent-Tashkent" (Silk Road) and "Almaty - Karaganda -Astana - Petropavlovsk". The construction of a ring road will allow to redirect to it a significant part of the transit traffic flow and reduce the traffic load on public roads in the city of Almaty.

This document is the Stakeholder Engagement Plan ("SEP" or "the Plan") developed by ERM for the Project to meet the Lenders' Requirements. The SEP is a "living" document and can be further updated to reflect Project's needs for further engagement with stakeholders. The Lenders are represented by the international financial institutions that are considering financing of the Project, namely the European Bank for Reconstruction and Development (EBRD), the Asian Development Bank (ADB), the international Finance Corporation (IFC) and the Islamic Development Bank (IDB).

The main parties involved in the Project are listed below (Table 1-1).

Table 1-1 *Main Parties Involved in the Project*

Position	Parties
SPV (or Concessionaire)	<ul style="list-style-type: none"> • BAKAD Investment and Operations LLP
EPC Contractor	<ul style="list-style-type: none"> • EPC Contractor of the Companies: <ul style="list-style-type: none"> ○ Alsim Alarko Sanayi Tesisleri ve Ticaret A. Ş., ○ Makyol İnşaat Sanayi Turizm ve Ticaret A. Ş. ○ SK Engineering & Construction Co. Ltd.
Grantor	<ul style="list-style-type: none"> • Ministry of Industry and Infrastructure Development of the Republic of Kazakhstan (MIID)
Engineering Design Team	<ul style="list-style-type: none"> • "Kazdroproekt" LLP (Leader of the Consortium) and • "NliPK Kazdorinnovatsiya" LLP
Executive authorities	<ul style="list-style-type: none"> • Ministry of Industry and Infrastructure Development of the Republic of Kazakhstan • Road committee of the Ministry of Industry and Infrastructure Development of the Republic of Kazakhstan (http://roads.miid.gov.kz) • Akimat of Almaty region (http://zhetysu.gov.kz) • Akimat of Talgarsky District (https://www.akimat-talgar.gov.kz) • Akimat of Karasaysky District (http://karasay.zhetisu.gov.kz/)

Position	Parties
	<ul style="list-style-type: none"> Akimat of Iliysky District (http://www.iletany.kz/page_lang_r.html)
Lenders	<ul style="list-style-type: none"> ADB (https://www.adb.org/), EBRD (https://www.ebrd.com/), IsDB (https://www.isdb.org/), IFC (https://www.ifc.org).

ERM was contracted by the BAKAD Consortium to conduct an Environmental and Social Impact Assessment (ESIA) for the BAKAD Project to international standards and Lender's Requirements.

The ESIA has been prepared to comply with the following Lender's Requirements: 2014 Environmental and Social Policy (EBRD), Safeguard Policy Statement (ADB), International Finance Corporation's Performance Standards on Social and Environmental Sustainability (IFC), IFC General Environmental, Health and Safety Guidelines, specific Health and Safety Guideline for Toll Roads and other relevant international standards (e.g. World Bank Operational Policies and European Union Directives).

The SEP describes the mechanisms by which people – especially local communities – and other stakeholders¹ are informed about the Project and given opportunities to provide comments and input to the Project development.

In line with the international standards, the main purpose of this SEP is therefore to:

- Explain to directly affected population and other interested stakeholders and members of the public which Project Documents are available and where/how this information can be obtained;
- Describe the process by which the Project Affected Persons (PAPs) and other stakeholders (e.g. vulnerable groups, NGOs) can provide comments and input, communicate opinions, ask questions and express concerns; and
- Explain how these comments/inputs will be addressed within the finalization of the ESIA Report.

Kazakhstani national and international requirements to the stakeholder engagement are presented in the *Appendix 3* to this SEP.

¹ Stakeholders are persons or groups who are directly or indirectly affected by a project, as well as those who may have interests in a project and/or the ability to influence its outcome, either positively or negatively. Stakeholders may include locally affected communities or individuals and their formal and informal representatives, national or local government authorities, politicians, religious leaders, civil society organizations and groups with special interests, the academic community, or other businesses.

2.1 BRIEF PROJECT DESCRIPTION

The main purpose of the construction of the BAKAD road is to create a bypass route at the junction of two international highways, the Khorgos-Almaty-Beshkek-Taraz-Shymkent-Tashkent road (the «Silk Way») and the Almaty-Karaganda-Astana-Petropavlovsk road.

The redirection of a large number of vehicles from the center of Almaty to the ring road will not only facilitate the organization of the traffic flows, but also will reduce the air and noise pollution in the city of Almaty.

The Decree No 1005 (dated 3 November, 2008) of the Republic of Kazakhstan Government included the BAKAD Project in the list of mid-term concession (built-operate-transfer) projects.

The BAKAD will be constructed in the Almaty Region and will run along Almaty from west to the east, along the city's northern border, at a distance of 20-25 km from the city center on average (see *Figure 2-1*).

The road will cross Karasaysky (27.5 km, PK0 - PK275), Iliysky (19.26 km, PK275-467) and Talgarsky (19.24 km, PK467- PK660) districts of the Almaty Region. The total length of the BAKAD road will be 66 km

For the design purposes the route was sub-divided into 6 sections as follows (*Table 2-1*):

Table 2-1 Description of the BAKAD road sections

Section	Location, km+	Description	District
Sections 8a and 8b	Section 8a: PK 0 - PK09 Total length - 900 m Section 8b: PK09 - PK 45 Total length - 4.4 km	Starts with a roundabout at the existing junction km 22+640 of the 'Almaty - Uzunagash' road (A4) to the west of the village Kyrgauldy and ends at the intersection with the 'Almaty - Bishkek' road (A2). Section 8b crosses river Kyrgauldy, a side arm of the same river, irrigation channels and ravines/gullies.	Karasaysky District
Section 1	PK 45- PK 240 Total length - 19.5 km	Starts at the 'Almaty to Bishkek' road (A2) and ends at the new interchange in the north of the 'Almaty - Chamolgan' road, to the east of the village Isaevo. Crosses a number of surface waters such as river Aksai, the Big Almaty Canal (BAC), a side arm	Karasaysky District

Section	Location, km+	Description	District
		of river Kargaly as well as a number of irrigation canals and ravines.	
Section 2	PK 240 -PK 440 Total length - 20 km	Starts at the interchange in the east of the village Isaevo and ends on the new interchange with the 'Almaty - Kapchagay' highway (A3) in the south of the town Otegen Batyr. Crosses many large and small rivers and streams and thus includes numerous bridges, including crossings of wastewater ditches and irrigation channels. The construction of the interchange on the 'Zhapek Batyr-Komsomol' road requires the relocation of the bed of the Big Almatinka river.	Iliysky District
Section 3	PK 440 - PK470 Total length - 3 km	Starts at the intersection with the 'Almaty - Kapchagay' Highway (A3) and ends at about 200 m to the east of the AL 17. Crosses the river Karasu (km 44+800) and the railway 'Almaty-Semei' (km 45+500).	Iliysky District/ Talgarsky District
Section 4	PK 470 - PK570 Total length - 10 km	Starts about 200 m to the E of the Almaty-'Zhetigen-Kapchagay' road (AL 17) in the north-east of Pokrovka and ends at the intersection with the 'Almaty - Khorgos' road (A2). Crosses the rivers Kartabulak, Almerak 1 and 2 as well as some irrigation and drainage channels and wastewater channels from Talgarsky district.	Talgarsky District
Section 9	PK 570- PK 660 Total length - 9 km	Starts to the SE of the intersection with the 'Almaty - Khorgos' road (A2) and ends at the intersection with the Almaty - Talgar - Evgenyevka road.	Talgarsky district

Based on the national road classification system, BAKAD is an I A¹ road, with 4-6 traffic lanes.

In 2038, at the end of the concession period, the estimated traffic intensity will be up to 67,000 vehicles per day on Section 3 max and up to 17,000 vehicles per day on Section 9 min.

The list of populated areas nearest to the BAKAD road are presented in the *Appendix 1*.

¹ Kazakhstan's Construction Regulations SNiP 3.03-09-2006 "Design of the Roads"

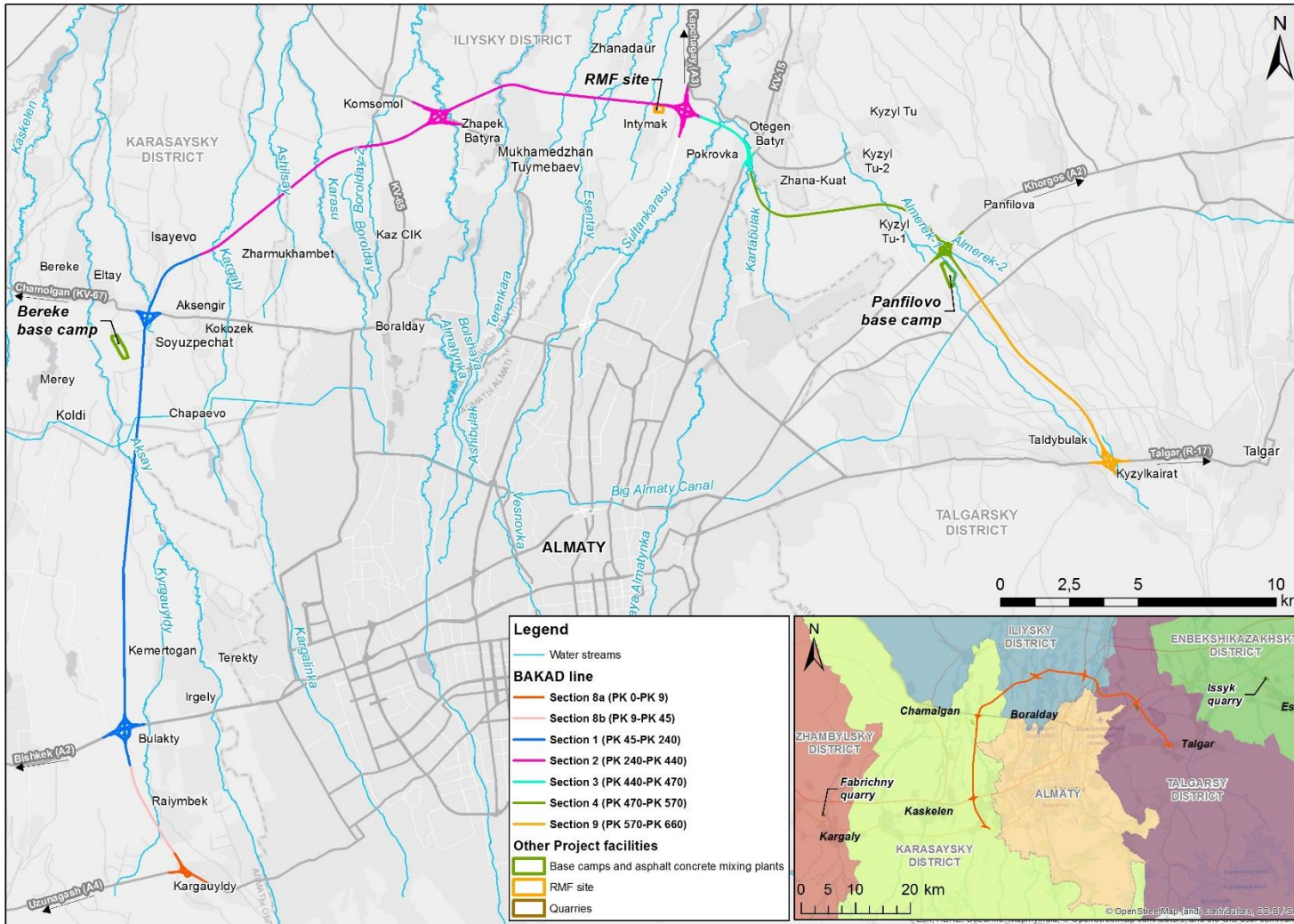


Figure 2-1 The BAKAD Route

The stakeholder engagement process will continue through all Project implementation stages, including:

- Preparation stage:
 - 2018: development of design documentation, setting of funding conditions and schedule;
- Construction stage:
 - 2019 – 2023: transferring of utilities, earth works, construction of the BAKAD roadbed, junctions, viaducts, cattle passes, etc.;
- Operation stage: commissioning is expected upon completion of the construction approximately in 2022 - 2023;
- Transfer of rights: end of the Concessionaire Agreement between the BAKAD Consortium and the Ministry of Industry and Infrastructure Development of the Republic of Kazakhstan is estimated in 2038, when all liabilities and assets will be transferred from the Consortium to MIID;
- Decommissioning/Closure: no decommissioning deadline for the BAKAD motorway was set at the time of preparation of this document.

Specific measures will be implemented at every Project stage aimed at providing continuous information to stakeholders and obtaining feedback from them.

Section 4 'Past Stakeholder Engagement' describes measures already implemented during the feasibility study (TEO) development.

The SEP for the current Project implementation stage (Pre-Construction) is detailed in *Section 6*.

The preliminary SEP for the construction and operation during the period of Concessionaire Agreement and after it expires is provided in *Section 7*. The SEP for the decommissioning and closure stage will be developed at later Project implementation stages as decommissioning of a toll road of 1a category are not considered.

In accordance with the Lender's Requirements regarding stakeholder engagement, the SPV has identified and documented various individuals and groups who (i) are affected or likely to be affected (directly or indirectly) by the Project (affected parties), or (ii) may have an interest in the Project (other interested parties).

This will enable the SPV to have a realistic picture of those who have interest in and/or are concerned about the Project and, consequently, should be included in the engagement process.

Preliminarily identified stakeholder groups are presented in the *Table 3-1* below. The complete list of stakeholders in each group is provided in *Appendix 2* to this Plan.

Table 3-1 *Identified stakeholder groups*

Stakeholder group	Stakeholders
Land users (organisations and individuals) who will be affected by permanent or temporary acquisition of land for the Project	<ul style="list-style-type: none"> • Social Baseline Study revealed pending court cases, unresolved grievances, and people still residing within the right of way; • Individuals and organisations to be potentially affected by land acquisition due to changes in Project design.
Local communities near the BAKAD, transportation routes, quarries, etc.	<ul style="list-style-type: none"> • People residing in immediate proximity to the BAKAD (residents of settlements in Karasaysky, Iliysky and Talgarsky districts); • People residing close to the quarries (residents of settlements in Enbekshikazakhsky and Zhambylsky districts); • People residing close to transportation routes (residents of settlements in Enbekshikazakhsky and Karasaysky districts).
Non-governmental organisations and independent experts	<ul style="list-style-type: none"> • Specialised environmental, social, and research organisations, non-government organisations and community organisations (including Community Councils, Council of elders, community informal leaders).
Public authorities and regulators	<ul style="list-style-type: none"> • National authorities, • Regional authorities, • Local authorities,
Organisations and personnel within the Project, including contractors/subcontractors	<ul style="list-style-type: none"> • Design developers and design organisations, • Project partners and consultants, • Suppliers and construction contractors, • Shareholders and Lenders.
Mass media	<ul style="list-style-type: none"> • Printed mass media of regional, district, and municipal level; • Television; Internet resources;

Stakeholder group	Stakeholders
Vulnerable community groups potentially affected by the Project	<ul style="list-style-type: none"> Local residents who may be difficult to engage due to age, disability, education level, social or economic status, etc.

The stakeholder list will be verified and may be changed at each stage of the Project implementation.

The initial classification of the stakeholders was undertaken to identify appropriate engagement methods with the various stakeholder groups. The worst affected stakeholders and/or stakeholders that may have substantial influence on the Project implementation will be communicated with more closely to ensure disclosure of information in a proper manner and to establish a feedback mechanism.

4 PAST STAKEHOLDER ENGAGEMENT

4.1 STAKEHOLDER ENGAGEMENT HISTORY (2006 – 2013)

4.1.1 Stakeholder Engagement in 2006-2008

The engineering studies related to the BAKAD project have been initiated from 2006 and land acquisition was initiated from 2007.

But until 2013, no public consultations were reported as being conducted by the executing and implementing agencies to involve the public in project planning and developing process, nor land acquisition and resettlement process.

A brief public notice was given in June 2008 by the consultant of detailed design that the BAKAD TEO was submitted to the Ministry of Environmental Protection, but no Project related information was disclosed nor made accessible to the public.

4.1.2 Public Consultations in 2013

A number of stakeholder engagement events was conducted in 2013 within the framework of the feasibility study (TEO), including:

- Public hearings in Karasaysky, Iliysky and Talgarsky Districts;
- Focus groups with local communities representatives;
- Focus groups with authorities' representatives at district level.

The public consultations were initiated in 2013 by the Ministry of Transport and Communication³ during the 2013 TEO study. A public notification was given in April 2013 announcing the public hearings for the Project.

The public consultations were attended by the representatives of the district administrations' office, Almaty Oblast Committee of Roads (CoR) and Land Committee, and EIA consultants KazNiiPI "Dortrans".

³ In 2019 - Ministry of Industry and Infrastructure Development of the Republic of Kazakhstan

Table 4-1 *Participants of public consultations⁴*

Location	Date	Participants		
		Male	Female	Total
Iliysky District	May 3, 2013	12	15	27
Talgarsky District	May 3, 2013	10	5	15
Karasaysky Districts	May 4, 2013	20	9	29
Total		42	29	71

During the public hearings, the following questions were raised:

- The route of the BAKAD highway along the districts;
- Accessibility to land plots;
- Location of underpasses for livestock;
- Removal and relocation of utilities;
- Land acquisition and demolition of buildings (clarification of the cost);
- Obtaining permission for construction of service facilities along the BAKAD, etc.

Particular attention was paid to the measures aimed at reduction and elimination of the negative impact on the environment.

In addition, the focus groups discussions were held by the Kocks Consult GmbH in each of the districts involved in the BAKAD Project (6 focus groups were held). Research tasks included identification of Project’s induced impacts and discussion of land acquisition issues.

The following concerns were raised at the focus groups discussions:

- Concern that there are violations of constitutional rights;
- Land Acquisition process is unfair (unequal compensations being offered) for land plots and property;
- Unfair valuations and inadequate compensation for land;
- No consultations on the BAKAD/ No access to information;
- Decreasing trust on the local and national government;
- Concern on corrupt officials and growing corruption/ Fear of intimidations;
- Concern on insufficient and low compensation of residential structures;
- Loss of livelihood, loss of income (economic displacement);
- Increased social tensions and disturbed residential stability;
- Benefit sharing.

⁴ Data from Feasibility Study (TEO) of the Big Almaty Ring Road (BAKAD) Concession Project, Environmental section, Koks report, November 2015

At the focus groups in 2013 representatives of the districts authorities' showed dissatisfaction with long term land acquisition procedure, which followed by the Project pending and growth of social tension.

4.1.3 *Public Hearings in 2018*

The public hearings in 2018 were organized by the Road committee of the Ministry of Industry and Infrastructure Development of the Republic of Kazakhstan. Representatives of the Design Team (TOO NIiPK Kazdorinnovatsia) reported on the Project's technical aspects and Akimats provided local residents with information regarding land acquisition and organizational questions. Main purpose of the hearings was to disclose the EIA in line with the requirements of the RoK legislation.

The list of participants can be found in the Annex 3.7 to the ESIA Vol. III, Technical Appendix 3.0 Social Baseline.

Public hearings in Talgarsky District: March 12, 2018

The public hearings on the draft EIA were held in March 2018. EIA materials were submitted to the local executive bodies of the Talgarsky District. 13 local residents took part in the public hearings⁵.

Representatives of Kazdorinnovatsia reported on the technical characteristics of the BAKAD, environmental impacts and envisaged embedded controls. Contact information was provided regarding remarks and suggestions about to the Project design:

- Design team: TOO NIiPK Kazdorinnovatsia;
- Responsible person: Aigul Salimovna Muinadarova;
- Address: office 122, Seifullina street 485, Almaty, Kazakhstan;
- Telephone number: +7 (717) 253-99-59;
- Email: kazdorin@mail.ru.

Following topics were raised during the discussion:

- Land acquisition,
- Detailed information about BAKAD Project,
- Start of construction,
- Participation of design team and Consortium representatives in further public consultations.

According to the Protocol of the public hearings there were no remarks and suggestions.

⁵ According to the Protocol of public discussions

Public hearings in Karasaysky district: July 20, 2018

The public hearings on the EIA in accordance with national legislation were held in Community Cultural Center in settlement of Irgely, Karasaysky district on July 20, 2018.

Public hearing were initiated by the Consortium. The public notification was given in local newspaper "Kazakhstan's Truth" #120 on June 28, 2018.

The public hearings were attended by the representatives of district administrations' office, representatives of rural administrations, representatives of the Consortium's Project designers - TOO "KazDorInnovatsia", developers of EIA section - TOO "KazTsEP". In total 40 people attended hearings.

The following questions were raised by the residents:

- Intersection of the Gardener partnership "Pogranichnik" and loss of the access to five houses. Provision of entrance to the households. Transferring of supply systems;
- There are two cottages within the gardeners' partnership area that did not have registered ownership documentation for the time, the owners disagree with compensation to a minimum inventory of the price;
- Question about entrance and exit from the BAKAD at Raiymbek and Kyrgauldy;
- An offer to establish additional drainage system in the new microdistrict of Raiymbek;
- Unavailability of agricultural land use for its intended purpose due to lack of access;
- Benefits for residents of settlements adjacent to the road;
- Provision of temporary energy sources to the gardeners' partnerships, settlements during transferring of supply systems;
- Proposal for fencing of the builders' camp near the village.

Based on the results of the hearings, the design documentation was recommended to be presented to the State Environmental Review.

Public hearings in Iliysky district

Public hearings on the EIA in accordance with national legislation will be undertaken as soon as the final design solutions become available.

4.2

STAKEHOLDER ENGAGEMENT DURING ESIA PREPARATION

A number of stakeholder engagement activities have been conducted within the framework of the ESIA development, including:

- Consultations with the representatives of Districts' authorities;
- Consultations with the representatives of Rural Okrugs' authorities;

- In-depth interviews with heads of departments of Districts' and Rural Okrugs' akimats;
- Focus groups with the representatives of farmers, the elderly (aksakals), the enterprises of small and average business, representatives of vulnerable categories of citizens;
- Survey of the households located in the project area of influence;
- Survey of the land users and/or residents of the plots that were expropriated for the Project.

A summary of stakeholder engagement activities is provided below.

4.2.1 *Socio Economic Baseline Data Collection*

The preparatory period of the social baseline study included preparation and submission of data requests for socio-economic conditions and statistics of the Project area to the regional, district and local (Rural Okrug) authorities. In total 14 data requests have been prepared and sent.

After sending the requests, the meetings were scheduled with the heads of three administrative Districts - Talgarsky, Iliysky and Karasaysky.

Meetings with representatives of the administration of Enbekshikazakhsky and Zhambylsky Districts were not held since there are only Project associated facilities (quarries) on their territory.

The sections on socio economic baseline conditions are informed with statistical data obtained by requests, from the open sources, as well as resulted from the interviews with the residents of settlements located near the quarries.

4.2.2 *Field Social Survey and Consultations*

A Field Social Survey (FSS) was undertaken between June 22 and July 19, 2018 as part of a wider process of the ESIA development.

The main objective of the FSS was to determine the areas affected by the Project, identify the Project Affected Persons (PAPs) and vulnerabilities among these, collect socio-economic data and through these activities establish a baseline for the Project in advance of construction activities. The collected baseline data was integrated into the ESIA as well as in the SEP.

A brief summary of the engagement is given below.

4.2.3 *Consultations with Representatives of District and Rural Administrations*

A kick-off meeting with the Deputy Head of Talgarsky District and representatives of Talgarsky District administration was held on June 22, 2018. Meetings with the Deputy Head and representatives of administration of Iliysky and Karasaysky Districts were held on June 26, 2018.

After the inception meetings in the district administrations, a series of in-depth interviews were conducted with specialists in the departments of District administrations and in Rural Okrugs' akimats.

In total 24 in-depth interviews with the representatives of local authorities were conducted in Talgarsky District, 13 in Iliysky and 17 in Karasaysky District, including face to face meetings with the headmen of rural administrations of the 13 villages. These villages are located along the BAKAD route and will be directly affected by the Project, therefore they were included in the scope of the FSS.

The following key issues were raised during these discussions:

- pressure of expansion of residential areas on agricultural lands;
- intersections and fragmentation of residential areas;
- access to the local roads;
- noise pollution and dust emissions, etc.;

The aspects raised during the consultation meetings have been further addressed in relevant sections of the ESIA.

4.2.4 *Focus Group Discussion (FGD)*

The Focus group discussions were held in the villages with farmers, "aksakals" (elder people having authority within other population of the community), representatives of small businesses, representatives of vulnerable groups. The attendees of the Focus groups were selected/recommended by the respective Akimats (Rural Okrug administration).

In total, 19 Focus groups were conducted - 5 in Talgarsky District, 6 in Karasaysky District, 8 in Iliysky District.

The Focus groups were held in rural schools, their size ranged from 4 to 10 people, there were no restrictions on gender, age or social status. The criterion for participation of a person in the Focus group was their belonging to a group of the stakeholders. Administration representatives did not participate in the discussions.

Due to the fact that large agricultural companies have received compensation in 2013, to date they have already reoriented the business and refused to participate in the interviews due to the lack of need to discuss the historical compensation process.

The selected examples of the key issues raised during the FGDs in July 2018 are summarized as follows:

- Most headmen of rural administrations and community members were aware about the Project but few had information about the specific Project route;

- All interviewed stakeholders expressed the need to obtain information about the Project, the technical characteristics of the BAKAD Route, the activities and plans of the SPV within the project in their responses;
- Public awareness was limited to general knowledge of the Project existence;
- The fragmentation of small agricultural lands and limitation of the access to its` are perceived as the biggest impacts to group of farmers;
- The residents of Taldybulak, Kyzyl Kairat, Kyzyl Tu 1, Kyzyl Tu 2, Kyzyl Tu 3 were concerned that as a result of the BAKAD road construction small irrigation canals will be blocked. The issue is that the residents dig and clean these irrigation canals (“*aryks*”) by their own and this canals are not managed by the municipal entity “Talgarirrigatsiya”. All canals managed by the municipal entity will be relocated during the BAKAD construction, but private channels are not considered by the engineering design. Blocking of small irrigation channels will disturb household irrigation;
- All residents and especially women were concerned about the noise impacts on social facilities (the village of M. Tuymebayeva) and dacha communities (Pogranichnik) during the construction and operation of the Project;
- The influx of workers does not cause concerns from local population, however, in most cases, respondents considered it necessary that the construction camp should have a fence;
- Most households receive incomes from agricultural activities, despite differences in living standards and income.

The research activities conducted in the settlements and interviews with the stakeholders reveal some expectations in terms of the opportunities provided by the Project to the region economy. These are as follows:

- Due to the proximity to Almaty agglomeration positive effects from BAKAD construction are associated with the reduced utilization of existing outbound routes - Talgar, Kuljinsky, Iliysky paths, the Almaty - Bishkek route;
- About 30 to 50% of the working age population work in Almaty. The construction of the BAKAD road will reduce their travel time.

4.2.5

Questionnaire Survey

Survey of population within the Project Area of Influence

The field social studies included a survey of the population permanently residing in the settlements within the Project area of Influence (~ 1 km to each side of the BAKAD RoW). The survey was conducted on 6 - 13 July, 2018 and covered 298 respondents.

The questionnaire included the following categories:

- Assessment of the well-being, including community health and accessibility to public healthcare and education facilities, social support, employment and small business, environment, local government, security, housing, roads and safety.
- Social problems of the population.
- Assessment of the livelihood.
- Expectations from the project.

The analysis of survey results is provided in the Social Baseline section of the settlements within the Project Area of Influence.

A summary of the survey results is as following:

- Public awareness is limited to general knowledge on the Project.
- All respondents were interested in receiving information about the Project, including technical characteristics of the BAKAD route, activities and plans of the SPV.
- Preferred channels of information for the public (descending preferences) are: television, placing ads on the company's website, in social networks, in public places.
- The Project is positively evaluated by the vast majority of the population.

Survey of land users affected by the Project

The owners living on land plots, as well as the tenants of land plots were interviewed.

The study was carried out in the period from June 20 to July 3, 2018. ERM has interviewed all affected land users that at the time of the FSS were still living within the RoW. Since contact details of other land users were unavailable and the Risk Assessment was not completed, the number of interviewed people was limited to 45, including:

- 15 respondents were interviewed in Talgar District - in the village of Kyzyl Kairat, Kyzyl Tu-4,
- 12 respondents were interviewed In Karasaysky District in the "Ogonyok" dacha community and "Pridorozhnoye" dacha community,
- 18 respondents interviewed In the Iliysky District – 7 people in Kokkaynar and 11 respondents in Pokrovka.

The study was aimed at identification of reasons why people are still residing in the houses which reportedly have been already expropriated for the Project needs and compensations were provided, as well as understanding the conditions for relocation of households from the RoW.

In summary the following information has been obtained from the survey:

- The average time of comfortable preparation to move is 2-3 months;
- Preferred method of communication is targeted information by phone;

- All leaseholders residing within the RoW have the information that housing will be removed at the stage of preparatory works for BAKAD construction.

As a result of the survey, several land owners were claimed that they did not receive compensation in each District (please refer to *Section 5*). These cases require engagement with the District akimats with the SPV's participation. In some cases land users belong to the vulnerable categories of population.

4.2.6 *Public Consultations for the Announcement of ESIA Preparation in 2018*

Public consultations were held by the SPV on August 02 – 10, 2018 to announce the start of the ESIA development. List of settlements and minutes of public consultations is provided in *Appendix 5*.

The notification on consultations was provided two weeks before the scheduled date. The notification letters were provided to the akimats on behalf of the SPV. Local akimats have placed announcements of the hearings in the publically available places. Public hearings were held in each of the districts involved in the BAKAD Project (there were held 12 meetings).

Table 4-2 *Participants of public consultations*

Location	Date	Participants		
		Male	Female	Total
Kyzyl Tu	August 2, 2018	12	15	27
Panfilovo	August 2, 2018	10	5	16
Taldybulak,	August 3, 2018	20	9	29
Kyzyl Kairat	August 3, 2018	17	14	31
Zhana Kuat	August 6, 2018	9	6	15
Guldala	August 6, 2018	3	3	6
Irgeli	August 7, 2018	15	13	28
Bereke	August 8, 2018	6	7	13
KazTSIK	August 9, 2018	12	17	29
M. Tuymebaeva	August 9, 2018	27	16	43
Yntymak	August 10, 2018	14	7	21
Pokrovka	August 10, 2018	27	22	59

The following topics were included in the presentation by the SPV and the design team during the public consultations:

- The description of the BAKAD route along the districts;
- Accessibility to land plots;
- Access to/exits from settlements to the BAKAD;
- Location of underpasses for livestock, engineering specification;
- Removal and relocation of utilities;

- Obtaining permission for construction of service facilities along the BAKAD, etc.

The following concerns were raised by the stakeholders during these meetings:

- Limited information about the BAKAD Project;
- No consultations on the BAKAD/ no access to information;
- Land acquisition and demolition of the buildings (clarification of the cost);
- Low level of stakeholder engagement concerning the BAKAD activity;
- Controversial information on engineering specification for the BAKAD sections;
- Provide all season access to the underpasses for livestock and agricultural vehicles;
- Relocation of the utilities;
- Road safety for the pedestrians and representatives of vulnerable groups during construction;
- Noise and dust impacts on the residential areas.

The RoK Government is obliged to deliver the Site to the SPV clear and free of any structures and residents. In this respect the Site clearance procedure is being done by the regional municipality authorities on behalf of the Ministry of Industry and Infrastructure Development of the Republic of Kazakhstan.

The process of notifying the tenants and compensated land owners started in August 2018 and was due to be finished in October 2018.

All the owners and tenants in Karasaysky and Talgarsky districts have received the relevant notifications. The distribution of notifications to the owners and tenants in the Iliysky District started on September 24, 2018 and was due to be finished in October according to the plan of the regional municipality.

Distribution is being done by the relevant local authorities (Karasaysky akimat, Iliysky akimat and Talgarsky akimat responsible persons) by delivering the notifications personally to the land owners and tenants.

Detailed information on past land acquisition will be presented in the *Risk Assessment Report*.

6.1 OBJECTIVES OF DOCUMENT DISCLOSURE

The objectives of the Disclosure Period are to solicit the feedback from the Project stakeholders (including the PAPs) on the Project impacts and proposed mitigation measures provided in the ESIA as well as the overall approach of the process to secure the land. Where required, necessary changes will be made to the Draft ESIA and to related documents during their finalization to reflect the comments received during the disclosure.

During the Disclosure Period, a formal Public Consultation process will be carried out along the BAKAD route. This SEP includes an “ESIA Disclosure Plan”, targeting the Project-affected settlements along the route, as central element of the public consultation program described in this document (see *Section 6.5* below).

6.2 WHO WILL BE INFORMED?

During the Disclosure Period, information will be made available to the groups of stakeholders who are affected by the Project, have interests in the Project or have the potential to influence the Project outcomes. The stakeholder categories that will be targeted for engagement during the ESIA disclosure as well as over the entire cycle of the Project are:

- PAPs and the Project affected settlements⁶ (see *Appendix 1*);
- General members of the communities within the SAoI;
- Residents of the summer houses in the Project area;
- Vulnerable groups identified in the settlements within the SAoI;
- Statutory stakeholders (e.g. governmental bodies, administration).

Detailed list of stakeholders is presented in *Appendix 2*.

⁶ The term “settlement” covers all villages, towns and their neighborhoods.

The vulnerable groups among the Project affected population were identified through the socio-economic field survey. In this context, the following groups have been identified as vulnerable:

- Economically vulnerable groups:
 - unemployed and/ or individuals without steady source of income,
 - disadvantaged (low-income), large and/ or single-parent families,
 - senior citizens/ pensioners, and
 - people with disabilities,
 - Oralmans⁷;
- People with limited mobility:
 - senior citizens/ pensioners,
 - people with disabilities;
- People who suffer from acute/chronic illness and elderly people;
- Children.

To ensure that all Project affected residents will have an opportunity to receive Project information, raise concerns or make written or oral comments, special provisions will be taken to consider vulnerable groups in a meaningful way, comprising:

- Provision of transport to Road Show meetings where needed (e.g. for elderly, physically disabled people or other people who wish to access the locations where public meetings are held). Needs for transport on the settlement level will be identified through the akimats in the context of preparation of the public consultation.
- Allowing participants to either make comments formally during the meeting or informally on a one-to-one basis after a meeting.
- The option that the participants who are not able to read or write have the opportunity to listen to presentations and provide their concerns verbally to minute takers during or after the meeting.

WHICH INFORMATION WILL BE AVAILABLE?

The SPV will be disclosing the Project ESIA package in Kazakh, Russian and English languages:

- **Environmental Impact Assessment** (EIA prepared by Kazdorinnovatsiya, Russian language only)

⁷ As 'Oralman' is interim status (duration is about one to two years) for ethnic Kazakhs migrated back to Kazakhstan, no specific engagement activities is required for this group of people. Further it is assumed that Oralmans will participate in engagement activities along with the rest of the residents of vulnerable groups.

- The ESIA Report:
 - I. *Volume I - NTS - Non-Technical Summary* (all three languages)

This will be a stand-alone summary written in a simple language to explain the key points of the ESIA to a wider public;
 - II. *Volume II – The Main ESIA Report* (all three languages)

This is a central document and contains most of the relevant information and key findings for the readers, except for the detailed items in Volume III and related Annexes thereto. This Volume also describes stakeholder engagement activities conducted during the preparation of this ESIA performed to the date;
 - III. *Volume III – The ESIA Appendices* (in Russian and English languages)

This volume includes a number of ESIA-related details (e.g. stakeholder meeting protocols, regulatory specifics, etc.), plus a stand-alone “topic assessment chapter” for each major topic (air, noise, etc.). These topic chapters contain the technical (baseline) data, methodologies for Impact Assessment, analysis and results, including the “long list” of impacts and the significance. Where appropriate, detailed baseline data sets, calculations etc. are attached as annexes;
 - IV. *Volume IV – The Framework ESMP* (in Russian and English languages)

The relevant mitigation measures and overall monitoring plan will be compiled in the Environmental and Social Management Plan (ESMP) document. This forms the “umbrella” management plan for the Project and spells out which additional, topic-specific management plans are required as the basis for implementing and monitoring the various mitigation measures;
 - V. *Volume V – LARP* (in Russian and English languages)

This volume comprises the Land Acquisition and Resettlement Principles (LARP) document, which provides the basis and “road-map” for the subsequent implementation and monitoring of the Land Acquisition and Resettlement Management Plan (LAR MP), should any of these will be required for the purposes of the future land acquisition due to changes/amendments of the design;
 - VI. *Volume VI- SEP* (all three languages)

This volume will comprise the Stakeholder Engagement Plan, which describes the stakeholder engagement process to date

and details how the Project will continue to engage with external stakeholders during the following stages of its development including establishment of a Grievance Process;

VII. *Volume VII – Set of Environmental and Social Management Plans* (in Russian and English languages)

This volume is comprised of the environmental and social management plans developed for the Project, including: Construction Environmental Management Plan (CEMP) (including the Spill Response Plan, Site Specifics MP for each Construction Camp, Security), Waste MP, OHS and Labour MP (including HIV/AIDS Preventive Management Plan), Cultural Heritage Framework MP (including Chance Find Procedure), Community Health, Safety and Security MP, Traffic MP, Local Community Employment Plan, Supply Chain MP;

- **Leaflets** (in Kazakh and Russian languages) containing key information about the Project: Public Grievance Form, providing an overview of means through which stakeholders can express their views on the Project and the ESIA results

In addition, the updated Project information will be made available to the public via the Project's internet website www.bakad.com.kz for reading online and down-loading. All ESIA documents listed above will be uploaded by the SPV on the Project website.

6.5 *HOW AND WHERE WILL THE PUBLIC BE ABLE TO OBTAIN THE INFORMATION?*

6.5.1 *Introduction*

Key objective of the disclosure and engagement process is to reach as many people as possible, especially in the affected settlements. All disclosed Project ESIA Documents will be distributed to the Disclosure Locations (SPV offices, Districts and Rural Okrugs akimats).

6.5.2 *Where will Project Documents be Located?*

During the Disclosure Period, complete copies of a Draft ESIA and other Project Documents, as referred to in *Section 6.4* above, will be available in Russian language in three District akimats' offices (Kaskelen, Otegen Batyr and Talgar) along the Project alignment.

The ESIA NTS, the SEP and Grievance Form, in Kazakh and Russian language, will be available in the Rural Okrugs' offices in each of the affected Rural Okrugs (a list is provided in *Appendix 1*).

Further, the complete documents will be available for commenting on the Project Website www.bakad.com.kz. The Project Grievance Form will be copied for wider distribution for the Public and will also be available in all locations named above (see *Appendix 4*).

Furthermore, the consultation meetings will be announced in the local, and regional media (see *Appendix 2*).

The following *Table 6-1* gives a summary of information which will be available during the Disclosure Period and at least one week prior to the commencement of the Disclosure Road Show (see next sections).

Table 6-1 *Locations for Access to disclosed Project Documents by Type of the Project Document*

Type of Document	Availability during Disclosure	
	Soft copies	Hard copies
<ul style="list-style-type: none"> • National EIA (Rus) • Full Draft ESIA Report: <ul style="list-style-type: none"> ○ Main ESIA Report (Kaz, Rus, Eng), ○ ESIA Appendices (Rus, Eng), ○ FESMP (Rus, Eng), ○ SEP (Kaz, Rus, Eng), ○ Management Plans (Rus, Eng); • Land Acquisition and Resettlement Principles (Rus, Eng), • Grievance Form (Rus, Kaz, Eng) 	Project Website www.bakad.com.kz	District akimats' offices: <ul style="list-style-type: none"> • Akimat of Karasaysky District, • Akimat of Iliysky District, • Akimat of Talgarsky District. Consortium's offices: <ul style="list-style-type: none"> • Bereke construction camp, and • Panfilovo construction camps
Non-technical summary of the ESIA (Rus, Kaz, Eng)		District akimats' offices: <ul style="list-style-type: none"> • Akimat of Karasaysky District, • Akimat of Iliysky District, • Akimat of Talgarsky District.
SEP (Rus, Kaz, Eng)		Rural Okrug Akimats' offices: <ul style="list-style-type: none"> • Akimat of Raiymbeksky RO, • Akimat of Irgeliysky RO, • Akimat of Eltaysky RO, • Akimat of Kaztsikovskiy RO, • Akimat of Aschibulakskiy RO, • Akimat of Bayserkensky RO, • Akimat of Energetichesky RO, • Akimat of Panfilovskiy RO, • Akimat of Belbulasky RO, • Akimat of Alatausky RO, • Akimat of Guldalinsky RO. Consortium's offices: <ul style="list-style-type: none"> • Bereke construction camp, and • Panfilovo construction camps
LARP and Grievance Form (Rus, Kaz, Eng)		

If necessary, alternative timing and locations for vulnerable groups (e.g. women, physically disabled, elderly, other people with difficulty accessing the planned locations), to be determined close to preparing the consultation meetings

6.5.3 *Engagement Activities Held in 2018 within the Framework of ESIA Disclosure*

The process of stakeholder engagement within the ESIA disclosure has started in 2018. *Table 6-2* below presents a summary of stakeholder activities that have been completed by the time of writing.

Table 6-2 Stakeholder Engagement and Information Disclosure activities held in 2018

No	Activity	Objectives	Engagement mechanisms	Stakeholders	Timeframe/frequency	Responsible parties	Status
A. INTERNAL PROCEDURES							
A1	Establishment of Project Website	Establishment of a platform for continuous information disclosure and stakeholder engagement	-	All stakeholder groups	September 2018	SPV	Project Website has been launched
A2	Starting of Disclosure campaign	Provide for stakeholder engagement	Announcements on opportunity to address all project-related queries to the Social Expert	All stakeholder groups	September 2018	SPV	Announcements on start of ESIA Disclosure have been made via local akimats
A3	Appointment Grievance Focal Point	Appointment of a persons responsible for implementation of grievance mechanism	-	All stakeholder groups	September 2018	EPC	Appointed person: Ayman Zhanuzakova
B. PREPARATION STAGE							
B1. Public consultations (draft ESIA results discussion)							
B1.1	Public consultations in settlements of Talgarsky District for the residents of Panfilovsky, Belbulaksky, Alatausky and Guldalinsky Rural Okrugs	Coordination of the Construction Management Plan with stakeholders: <ul style="list-style-type: none"> • Schedule of construction works, • The scheme of traffic during the construction period, • Routes of movement of construction equipment, • Organization of construction sites, • Measures to ensure the safety of construction sites, • Appropriate means of interaction with affected parties 	Public consultations in: <ul style="list-style-type: none"> • Panfilovo • Kyzyl Tu-4 • Taldybulak • Kyzyl Kayrat • Guldala 	Land users, local residents/ community, local and regional authorities	2-6 th of August 2018	SPV ERM	Minutes of public consultations is attached to the ESIA Report
B1.2	Public consultations in: <ul style="list-style-type: none"> • settlements of Karasaysky District for residents of Raiymbeksky, Irgelisky and Eltaysky Rural Okrugs 	Coordination of the Construction Management Project with stakeholders: <ul style="list-style-type: none"> • Schedule of construction works, • The scheme of traffic during the construction period, 	Public consultations in <ul style="list-style-type: none"> • Raiymbek, • Irgeli • Bereke 	Land users, local residents/ community, local and regional authorities	7-8 th of August 2018	SPV ERM	Minutes of public discussions is attached to the ESIA Report

No	Activity	Objectives	Engagement mechanisms	Stakeholders	Timeframe/frequency	Responsible parties	Status
		<ul style="list-style-type: none"> • Routes of movement of construction equipment, • Organization of construction sites, • Measures to ensure the safety of construction sites, • Appropriate means of interaction with affected parties 					
B1.3	Public consultations in settlements of Iliysky District for residents of KazTSIKovsky, Aschibulaksky, Baiserkensky and Energetichesky Rural Okrugs	Coordination of the Construction Management Project with stakeholders: <ul style="list-style-type: none"> • Disclosure of the EIA results, • Schedule of construction works, • The scheme of traffic during the construction period, • Routes of movement of construction equipment, • Organization of construction sites, • Measures to ensure the safety of construction sites, • Appropriate means of interaction with affected residents 	Public consultations were held in <ul style="list-style-type: none"> • KazTSIK • M.Tuymebaeva • Pokrovka • Yntymak 	Land users, local residents/ community, local and regional authorities	9-10 th of August 2018	SPV ERM	Minutes of public discussions is attached to the ESIA Report
B1.4	Meeting with representatives of the RoK authorities	<ul style="list-style-type: none"> • Requests for additional approval of Risk Assessment study regarding past land acquisition • Discussion of technical design solutions 	<ul style="list-style-type: none"> • Meeting in Astana 	Representatives of Regional and national authorities	15 th of August 2018	EBRD, ADB, IFC SPV EPC Design Team ERM	Meeting with representatives of the RoK authorities has been held
B2. Disclosure of the Project's impact assessment results (ESIA disclosure according to international standards)							
B2.1	Disclosure of documents in accordance with the ADB procedure: Main ESIA Report and ESIA Technical Appendix, Air Quality Impact Assessment	Disclosure of Main ESIA Report and ESIA Technical Appendix, Air Quality Impact Assessment in accordance with the ADB procedures	Documents will be posted on the <ul style="list-style-type: none"> • ADB website (https://www.adb.org/projects/documents) – <i>Draft ESIA and SEP only</i> SPV web-site www.bakad.com.kz	All stakeholder groups	During 120 days from September 15 th , 2018 QII 2019	ADB SPV	The documents were published on the ADB and BAKAD website

6.5.4

ESIA Disclosure Road Show

The Disclosure Road Show will provide opportunities for direct communication between local residents as well as local, regional, and provincial officials and the SPV ESIA Team. The SPV's Environmental and Social Manager shall be responsible for the overall delivery of consultations in 2019 once ERM's input will be over.

A full stakeholder engagement program to be undertaken during the ESIA disclosure period is presented in the *Table 6-3* and the stakeholder Engagement Plan for construction and operation is presented in the *Table 7-1* below also indicating proposed means of engagement and target stakeholders.

Table 6-3 Stakeholder Engagement and Information Disclosure Plan for the Project Preparation Stage

No	Activity	Objectives	Engagement mechanisms	Stakeholders	Timeframe/frequency	Responsible parties	Reporting
A. INTERNAL PROCEDURES							
A1-A3	Completed. See Table 6-2 above.						
A4	Approved SEP	Ensure running stakeholder engagement process	-	All stakeholder groups	April 2019	ERM SPV	Draft SEP, approved by SPV
A5	Appoint EPC Social Experts	Appointment of a persons responsible for stakeholder engagement	-	All stakeholder groups	April 2019	EPC	Notification on a Project Website (including contact details)
A6	Provide stakeholders with contact details of Grievance Focal Point	-	Publication on BAKAD Project website	All stakeholder groups	April 2019	SPV	
B. PREPARATION STAGE							
B1. Public consultations (draft ESIA results discussion)							
B1.1-4	Completed. See Table 6-2 above.						
B2. Disclosure of the Project's impact assessment results (ESIA disclosure according to international standards)							
B2.1	Completed. See Table 6-2 above.						
B2.2	Disclosure of documents in accordance with the IFC, ADB, EBRD procedure: ESIA, NTS, ESAP, Set of Environmental and Social Management Plans and SEP, LARP	Disclosure/publication of ESIA, NTS, ESAP, Set of Environmental and Social Management Plans and SEP, LARP in accordance with the IFC, ADB, EBRD procedures	Documents will be posted on the <ul style="list-style-type: none"> ADB website (https://www.adb.org/projects/documents) - <i>Draft ESIA and SEP only</i> EBRD website (http://www.ebrd.com/esia.html) IFC website (https://www.ifc.org/wps/wcm/connect/CORP_EXT_Content/IFC_External_Corporate_Site/Annual+Report/Financial+Reporting/) 	All stakeholder groups	During 60 days since 1 April 2019	ADB, EBRD, IFC	The documents will be published on the ADB, IFC, EBRD's and BAKAD website Hardcopies of documents will be available in District and Rural akimats and in SPV offices
			SPV web-site www.bakad.com.kz		QII 2019	SPV	
		Hardcopies of documents will be available in District and Rural Akimats and SPV office:			QII 2019	District and Rural akimats SPV	

No	Activity	Objectives	Engagement mechanisms	Stakeholders	Timeframe/frequency	Responsible parties	Reporting
			<ul style="list-style-type: none"> Address: Bereke and Panfilovo construction camp; <i>Responsible person: Günay Gökalp</i> 				
B2.3	Announcements about availability of disclosed documents (ESIA, NTS, ESAP, Set of Environmental and Social Management Plans and SEP, LARP) immediately upon the disclosure	Collect views and concerns and provide opportunity for further update of Project design and ESIA, NTS, ESAP, Set of Environmental and Social Management Plans and SEP, LARP	Announcements to be available: <ul style="list-style-type: none"> on the Consortium website; in local newspapers, on information stands/boards of district authorities, in publically available places: community cultural centres, district libraries, at information facilities in settlements located near the BAKAD. 	All stakeholder groups	April 2019	SPV District and Rural akimats	Announcements about actual changes in Project solutions will be posted on the website of SPV
B3. ESIA Disclosure Meetings							
B3.1	Announcements about ESIA Disclosure Meetings with regard to updated project solutions based on the addressed comments: <ul style="list-style-type: none"> Cohesion of settlements; Access to the local internal roads and shifting of routine routes of local residents; Access to social infrastructure facilities; Access to the cemeteries Transferring of supply utilities; Access to agricultural fields; Access to pastures; Transferring of local irrigation canals (aryks). 	Inform the public and local community about Stage II of public consultations based on the results of the ESIA	<ul style="list-style-type: none"> Publications in mass media; Publications on website of the SPV; Announcements on information boards in local akimats and frequently visited places (e.g. markets, schools, bus stops etc.) 	All stakeholder groups	April 2019 Minimum 15 days prior the meetings (could be performed together with line B2.3)	SPV	Announcements of upcoming stakeholder consultations will be posted: <ul style="list-style-type: none"> in electronic format on the website of the SPV, in print format on the informational stands in the settlements, and also addressed directly to the residents of the houses which is nearest to the motorway
B3.2	ESIA Disclosure Meetings in the settlements of Talgarsky, Iliysky, Karasaysky Districts	Inform the local residents of about the status of the Project design changes based on the results of the ESIA and	Meetings with communities including:	Affected communities	QII 2019 (details will be available)	SPV ERM	Minutes of meetings Log of questions and concerns to be considered

No	Activity	Objectives	Engagement mechanisms	Stakeholders	Timeframe/frequency	Responsible parties	Reporting
	(individually in each settlement; 13 meetings as the minimum): <ul style="list-style-type: none"> • KazTSIK • M.Tuymebaeva • Pokrovka (Otegen-Batyr) • Yntymak • Raiymbek, • Irgeli • Bereke • Panfilovo • Kyzyl Tu-4 • Taldybulak • Kyzyl Kayrat • Bolek • Kargaly 	including concerns raised by local communities during Round I public consultations and other stakeholder engagement activities	<ul style="list-style-type: none"> • Presentation of Consortium’s Social Expert, • presentation of the ESIA outcomes, • summary of consideration of communities concerns in the design, • presentation of updated Project schedule, • announcement on immediate job requirements, • announcement of GM, • Q&A, • Distribution of Project leaflets 		upon confirmation of disclosure dates) At least two weeks after the disclosure under line B2.2		during finalization of the ESIA
B3.3	ESIA Disclosure Meetings with groups of stakeholders (at least one consultation for each group per district; 12 consultations as the minimum): <ul style="list-style-type: none"> • Agricultural enterprises • Owners of businesses; • Representatives of vulnerable groups • Residents of affected Gardner partnerships 	Discussion on solutions provided by the design regarding the following issues: <ul style="list-style-type: none"> • Cohesion of settlements; • Access to the local internal roads and shifting of routine routes of local residents; • Access to social infrastructure facilities; • Access to the cemeteries • Transferring of supply utilities; • Access to agricultural fields; • Access to pastures; • Transferring of local irrigation 	Consultations with groups will be held in community libraries, schools, Community Cultural Centres	Land users, local residents, owners of business, representatives of vulnerable groups, residents of gardener partnerships/ community, local and regional authorities	QII 2019 (details will be available upon confirmation of disclosure dates)	SPV	Minutes of meetings Log of questions and concerns to be considered during finalization of the ESIA
B4. Disclosure of the updated ESIA package update							
B4.1	Disclosure of documents updated following the outcomes of disclosure and Public consultations Round II and update design solutions (changes/revisions in ESIA package will be made if there will be material	Inform the public and local communities on consideration of the questions and concerns raised during previous disclosure and Round II consultations	Publication of web and distribution of hard copies	All stakeholder groups	QII-QIII 2019	SPV Environmental and Social Manager	The updated ESIA report available: <ul style="list-style-type: none"> • in electronic format on the website of SPV

No	Activity	Objectives	Engagement mechanisms	Stakeholders	Timeframe/frequency	Responsible parties	Reporting
	<i>issues and concerns that require design modification/change):</i> EIA, SIA, NTS, ESAP, Set of Environmental and Social Management Plans and SEP, LARP, as well as summary of concerns rejected, concerns considered and changes introduced in the design						<ul style="list-style-type: none"> in hard copy in the office of the BAKAD Consortium
B5. General engagement activities on the past land acquisition and resettlement							
B5.1	Field survey amongst the affected people in 3 districts to complete the risk assessment of the past land acquisition and resettlement.	To understand residual risks and issues from the past land acquisition process	Individual interviews	Organizations (businesses) and individuals who have been affected by temporary or permanent acquisition of land for the Project	QII 2019	SPV	Results of the risk assessment will be available upon request
B5.2	Engagement activities defined by Risk Management Plan	<i>To be confirmed</i>	<i>To be confirmed</i>	Organizations (businesses) and individuals who will be affected by temporary or permanent acquisition of land for the Project	<i>To be confirmed</i>	SPV Environmental and Social Manager	<i>To be confirmed</i>
B6 General engagement activities related to impacts identified in the ESIA							
B6.1	Engagement with local authorities on the issue of access to assets for local residents, agricultural enterprises, local businesses	Mitigation of impact related to loss or deterioration of access (see <i>Section 7.6 Summary of Impacts on Local Communities, ESIA Report, Volume II</i> for details)	Consultation with local authorities	Local authorities	Prior to finalization of Project design	SPV	Minutes of meetings
B6.2	Consultations with local businesses	Engagement with local businesses in order to identify relevant mitigation measures for Project socio-economic impacts (see <i>Section 7.6 Summary of Impacts on Local Communities, ESIA Report, Volume II</i> for details)	<ul style="list-style-type: none"> Consultations with affected businesses to discuss relevant mitigation measures Informing affected business on approved measures and residual impacts of Project 	Affected businesses impacts (see <i>Section 7.6 Summary of Impacts on Local Communities, ESIA</i>	At least one consultation with each business prior to finalization of Project design	SPV	Minutes of meetings

No	Activity	Objectives	Engagement mechanisms	Stakeholders	Timeframe/frequency	Responsible parties	Reporting
				<i>Report, Volume II for details)</i>			
B6.3	Engagement with sponsors and/or responsible executor's of the relevant projects on construction of the outbound roads* of Almaty.	Discussion is needed to coordinate the schedule of construction activities of the BAKAD and of the outbound roads.	<ul style="list-style-type: none"> • Consultations with sponsors and/or responsible executor's of the relevant projects on construction of outbound roads of Almaty 	Sponsors and/or responsible executor's of the relevant projects on construction of outbound roads of Almaty	At least one consultation prior to finalization of Project design and regular communication during construction stage (at least once in 3 months)	SPV	Minutes of meetings

* the outbound roads mentioned are the planned roads going outside of the city center and planned to be connected with regional roads; the outbound roads are: 0+00 Abay prospect, 41+90 Tole be street, 87+95 Ryskulov street, 144+00 Akyn Sara street, 189+47 Mumyshuly street, 264+54 Sain street, 289+10 no name street, 321+70 Tlendiev street, 578+65 Akyn Sara street

6.6

CONSULTATION FIELD TEAMS – TASKS AND RESPONSIBILITIES

The public consultation program for the ESIA disclosure will be implemented by the SPV, with support from ERM and akimats' representatives who will provide information about the expropriation process according to the RoK regulations. The following table provides an overview of the key topics that will be covered by a field Team member and the respective role and responsibility. It should be noted that one person can and will cover multiple topics.

Table 6-4 *ESIA Disclosure Field Team: Overview*

Field Team Member	Role/Responsibility
Key representatives from SPV	Representatives of the Project Developer Provision of technical information, information on construction schedule and construction set up
Key representatives from the akimats	Information on the expropriation process and relevant compensation Preparation of the land plots to expropriation process
ERM social expert	Information on the ESIA, approach and results, management measures as well as international requirements. Information on the grievance procedure, relations formed with the local communities, sensitivities to be taken into account

Further consultation and engagement activities during the Project construction and operation will be the responsibility of the SPV and EPC Social Expert – see *Section 8.4*.

After the end of the Concessionaire Agreement the consultation and engagement activities will be performed by the District's and Rural Okrug's akimats on behalf of the Ministry of Industry and Infrastructure Development of the Republic of Kazakhstan.

6.7

RECORDING AND RESPONSE TO COMMENTS

All comments received will be documented in the Consultation Report, attached to the Final ESIA Report, which will describe if and how the comment is reflected in the final version of the ESIA Report and related documents. If a comment warrants an individual response, this will be provided. Otherwise, the way comments have been addressed will be reported in the ESIA Report and in the subsequent feedback.

7 **STAKEHOLDER ENGAGEMENT AFTER THE DISCLOSURE PERIOD, MONITORING AND REPORTING**

7.1 **STAKEHOLDER ENGAGEMENT AFTER THE DISCLOSURE PERIOD (2019 - 2038)**

Continued public engagement after the Disclosure Period of the ESIA will be the responsibility of the SPV, EPC Social Experts, Grievance Focal Point, and SPV HSE Management for the period from 2019 till 2038 (the end of the concession period). Stakeholder feedback will be a key component in the final determination of the effectiveness of mitigation measures and for the overall monitoring of the successful implementation of the ESMP.

The SEP is a living document and will be updated by the SPV to refine planned regular community liaison activities and notification of exceptional events as the Project progress. In case there will be change in design, the Consortium will conduct consultation meetings with relevant stakeholders/affected people with regards to the design changes and inform the stakeholders of the proposed changes and anticipated impacts associated with such changes.

The engagement activities for these future phases will in any case include, but not be limited to the items listed in the table below (*Table 7-1*).

Table 7-1 Preliminary Stakeholder Engagement and Information Disclosure Plan for the Project construction and operation stages

#	Activity	Objectives	Engagement mechanisms	Stakeholders	Timeframe/frequency	Responsible parties	Reporting
C. CONSTRUCTION STAGE (2018-2023)							
C1. General engagement activities after the ESIA disclosure							
C1.1	Regular publications and information disclosure	Inform the public and local community about the Project status and implementation progress	Disclosure/public of information about construction progress: <ul style="list-style-type: none"> • in local mass media; • on websites of the SPV and district administration Information stands installed in settlements along the BAKAD which provide information about the Project construction progress and timelines and include: <ul style="list-style-type: none"> • Schematic map of construction area • Timeframe/timelines for construction completion • Person responsible for construction operations at the subject section (including contact details) • Information about available grievance mechanism 	All stakeholders	At least every 3 months	SPV and EPC contractor	Respective publications Information stands/boards
C1.2	Community meetings and discussions with the local residents in affected settlements	Provide local residents with opportunity to express opinions, ask questions and lodge a complaint orally	Consultation with the residents in affected settlements. Date and time of these visits will be announced at least two weeks in advance.	Residents of affected settlements	The frequency of the visits is to be determined based on local needs in each of the villages, but not less often than every 3 months	SPV	Protocols of public meetings
C1.3	Community meetings and discussions with the vulnerable people in affected settlements	Provide the vulnerable people with opportunity to express opinions, ask questions and lodge a complaint orally	Special meetings for the vulnerable groups; e.g. women meetings will be held on village level by female Social Expert of EPC to make sure that their concerns are addressed as well.	Vulnerable people residing in affected settlements	The frequency of the visits is to be determined based on local needs in each of the villages, but not less often than every 6 months	SPV	Protocols of public meetings

#	Activity	Objectives	Engagement mechanisms	Stakeholders	Timeframe/frequency	Responsible parties	Reporting
C1.4	Announcements and information for affected settlements related to construction activities	Provide local residents with information on upcoming construction activities, potential impact, disturbance, such as temporary road closures, particularly noisy activities.	<ul style="list-style-type: none"> press releases to local media; village newsletters to be distribute through akimats offices and to be made available at other public places; information provided directly to affected households and businesses; installation on informational boards near construction sites, e.g. near crossing with local roads; boards will include information on construction schedule, bypassing routes, etc.; update of the Project Website. 	All stakeholders	Prior start of construction near each settlement	SPV	Respective publications, informational boards
C1.5	Implementation of grievance mechanism	Monitor stakeholder views and concerns with regard to the Project implementation process	Grievance mechanism	All stakeholders	During the entire stage	SPV	Grievance Register
C1.6	Reporting to the public on environmental, health and safety performance and implementation of the action plans and grievance procedure	Provide stakeholders with actual information on Project development	Report on environmental, social, health and safety performance to be upload to Project website, printed copies to be distribute among local residents during public meetings and via akimat offices	All stakeholders	Once a year	SPV	Report on environmental, social, health and safety performance
C1.7	Reporting to the public on results of biodiversity monitoring	Provide stakeholders with actual information on Project development and it's impacts on biodiversity	Report on results of biodiversity monitoring to be upload to the Project website, printed copies to be distribute among local residents during public meetings and via akimat offices	All stakeholders	Every 6 months during construction and operation stages	SPV	Report on results biodiversity monitoring
C1.8	Reporting to the public on results of ecosystem services monitoring	Provide stakeholders with actual information on Project development and it's impacts on ecosystem services	Report on results of ecosystem services monitoring to be upload to the Project website, printed copies to be distribute among local residents during public meetings and via akimat offices	All stakeholders	Every 3 years during construction and operation stages	SPV	Report on results biodiversity monitoring
C2 Specific engagement activities determined by the ESIA							
C2.1	Engagement with residents of settlements located in the immediate proximity to roads that will be used during construction (for delivery of goods, etc.)	Inform residents about possible impacts and envisaged mitigation measures and grievance mechanism	Disclosure/public of information about construction progress: <ul style="list-style-type: none"> in local mass media; on the websites of the SPV and district executive committees. 	Residents of settlements located in the immediate proximity to roads that will be used during construction	Before the construction stage	SPV	Respective publications and minutes of meetings

#	Activity	Objectives	Engagement mechanisms	Stakeholders	Timeframe/frequency	Responsible parties	Reporting
			Personal informing of affected households (which is located at the first line from the roads) or conducting of public meetings.	(for delivery of goods, etc.)			
C2.2	Engagement with local authorities regarding the repair works on local roads used for transportation of personnel and cargoes for the Project prior to commencement of transportation activities	Consultation with local authorities will allow to effectively manage risks of deterioration of road surface	Consultation with local authorities	Local authorities	Prior to commencement of transportation activities	SPV	Protocol of the meetings
C2.3	Engagement with local authorities on the issue of traffic movement during construction	Consultation with local authorities will allow to effectively manage traffic flows and to develop additional safety measures if required	Consultation with local authorities: <ul style="list-style-type: none"> • on management of traffic at the Almaty-Uzunagash road and the BAKAD; • on management of traffic at the BAKAD within the territory of Baiserkinsky RO and at A-3 route; • on management of traffic at the Almaty-Baiserke road and the BAKAD; • on management of traffic at the Talgar Route and the BAKAD to ensure coordination between the BAKAD design and new transport infrastructure planned by authorities; • on coordinated design of the BAKAD and main urban routes as well as management of traffic at the BAKAD and future roads to avoid potential constructional and operational risks. 	Local authorities	Prior start of the construction	SPV	Protocol of the meetings
C2.4	Engagement with local authorities on the issue of preservation of cultural heritage and present-day cemeteries	Installation of protective zones for identified cultural heritage assets; Development of specific mitigation measures related to relocation of cemeteries	Consultation with local authorities (see <i>Section 7.8 Summary of Impacts on Archaeology and Cultural Heritage ESIA Report Vol. II and Cultural Heritage Framework Management Plan</i>)	Local authorities	Prior start of the construction	SPV	Protocol of the meetings

#	Activity	Objectives	Engagement mechanisms	Stakeholders	Timeframe/frequency	Responsible parties	Reporting
C2.5	Engagement with local residents on the issue of preservation of cultural heritage and present-day cemeteries	Development of specific mitigation measures related to relocation of cemeteries	Consultation with local residents (see <i>Section 7.8 Summary of Impacts on Archaeology and Cultural Heritage ESIA Report Vol. II and Cultural Heritage Framework Management Plan</i>)	Local residents	Prior to start of the construction and during the entire stage in case any damage occur	SPV	Protocol of the meetings
D. OPERATION STAGE (from 2022 - 2023⁸ till 2038⁹)							
D1	Implementation of grievance mechanism	Monitor stakeholder views and concerns with regard to the Project implementation process	Grievance mechanism	All stakeholders	During the entire stage	SPV	Grievance Register
D2	Informing local residents about repair work	Provide local residents with actual information on Project development	Announcements on the SPV website	All stakeholders	During the entire stage	SPV	Respective publications

⁸ Commissioning is expected upon completion of the construction approximately in 2022-2023

⁹ End of the Concession period

The SPV will have overall responsibility in relation to this SEP. SPV will further coordinate and agree with the akimats with regard to how certain engagement activities shall be conducted. Engagement activities conducted by the akimats for this Project shall also be supported and reported by the SPV.

The SPV's Environmental and Social Manager shall be responsible to update this SEP before beginning of the Project main construction works and, as needed, during the operation of the BAKAD. Each SEP update shall also include information about previous stakeholder engagement activities and a summary of the results.

The EPC Social Performance team till will include two EPC Social Experts who will be responsible for overall stakeholder engagement providing and two Site Social Experts (one for each construction camp) who will support EPC Social Experts.

The following activities will be part of a Site Social Experts' responsibility:

- Registration of complaints from local residents and workers received in camp,
- Engagement with local authorities on behalf of the EPC Social Experts,
- Organization of stakeholder activities such as public hearings and consultations,
- Providing the answers to the questions of local residents about the Project.

The effectiveness of the stakeholder engagement activities will be assessed to determine if the respective activities have achieved the purpose of ensuring a meaningful consultation of the stakeholders and an informed participation (minimum number of consultations is presented in tables above).

The results and further conclusions shall be reflected in the future updates of the SEP at following stages of the Project.

The SPV's HSE Manager shall also be responsible to monitor the implementation of the SEP. Information about the implementation of the SEP shall be included in the Annual Environmental and Social Report for the Project.

For any questions or concerns about this SEP or the Project in general, please contact the EPC Social Expert at the address below, or via the telephone number, email address or website.

SPV CONTACT UNDER:

Address: office 403, 55/1, Zhangozin
Street, Kaskelen city, Almaty Region,
040900, Republic of Kazakhstan

Responsible Person: Ayman
Zhanuzakova, Project Grievance Focal
Point

Project Hotline:
+7 727 335 83 42

Website: www.bakad.com.kz

Email: ayman.zhanuzakova@bakad.com.kz

Special attention should be paid to the stakeholder engagement process during the decommissioning and post-decommissioning stages in accordance with the Lender's Requirements. After the end of the Concessionaire Agreement between the Consortium and the Ministry of Industry and Infrastructure Development of the Republic of Kazakhstan the stakeholder engagement process will be continued and performed by the District's akimat on behalf of the Ministry.

The engagement activities for the period of transfer of management to the Ministry will in any case include, but not be limited to:

- Informing local residents and users of the BAKAD about changes in responsible parties,
- Provide local residents and users of the BAKAD with new contact information: personnel responsible for stakeholder engagement, addresses, telephone numbers, emails, web-site (to be determined in cooperation with the Ministry and local authorities).

The update of current SEP will be performed in accordance with the core principles as set forth in this document.

The engagement activities after the end of the Concession period will be performed by local authorities on behalf of the MIID and in any case will include, but not be limited to:

- Implementation of the Grievance mechanism,
- Informing local residents and users of the BAKAD about repair work,
- Informing users of the BAKAD about any changes in toll, etc.

Table 7-2 Preliminary Stakeholder Engagement and Information Disclosure Plan for the Project operation stage after the end of Concessionaire Agreement

#	Activity	Objectives	Engagement mechanisms	Stakeholders	Timeframe/ frequency	Responsible parties	Reporting
E. OPERATION STAGE (after 2038)							
E1	Transfer of assets and liabilities from SPV to MIID	Closure of the Concessionaire Agreement	-	MIID District's akimats Rural Okrug akimats	2038	SPV	Transfer protocol
E2	Informing local residents and users of BAKAD about changes in responsible parties	Provide stakeholders with actual information on Project status and new ways of engagement	Announcements to be available: <ul style="list-style-type: none"> • on the Consortium website and MIID website; • in local newspapers, • on information stands/boards of district authorities, • in publically available places: community cultural centres, district libraries, at information facilities in settlements located near the BAKAD. 	All stakeholders	2038	SPV MIID District's akimats	Respective publications
E3	Implementation of grievance mechanism	Monitor stakeholder views and concerns with regard to the Project implementation process	<ul style="list-style-type: none"> • Grievance mechanism 	All stakeholders	During the entire stage	MIID District's akimats	Grievance Register
E4	Informing local residents about repair work	-	<ul style="list-style-type: none"> • Announcements on the BAKAD website 	All stakeholders	During the entire stage	MIID	Respective publications
E5	Informing users of the BAKAD about any changes in toll	-	<ul style="list-style-type: none"> • Announcements on the BAKAD website 	All stakeholders	During the entire stage	MIID	Respective publications

In accordance with the international good practice, a so-called “Grievance Procedure” will be established by which the Project Affected People (PAPs) and other interested Stakeholders can submit their complaints, questions or comments in relation to the Project during its entire lifecycle.

A Public Grievance Form (see the examples in *Appendix 4*) is available for recording grievances. Once a grievance is submitted to the SPV it will be logged in a register where it will be tracked through to a satisfactory conclusion. The grievance will be reviewed by the responsible personnel within the SPV and the required corrective actions will be identified.

The following person is responsible to implement the Grievance mechanism and the stakeholder engagement process with all types of stakeholders:

- **Ayman Zhanuzakova, Project Grievance Focal Point**
- **Email address: ayman.zhanuzakova@bakad.com.kz**
- **Project Hotline: +7 727 335 83 42**

The grievances can be submitted at any time by the PAPs and other stakeholders through the following means:

- Grievance Forms to be submitted
 - via the akimats offices,
 - by email to ayman.zhanuzakova@bakad.com.kz,
 - through personal handover to the Disclosure Team during the public consultation meetings.
- Calling the Project Hotline at +7 727 335 83 42;
- Sending written grievances to the SPV office postal address: office 403, 55/1, Zhangozin Street, Kaskelen city, Almaty Region, 040900, Republic of Kazakhstan;
- Submitting a grievance in person to the Social Experts of the EPC if a stakeholder is not able to or comfortable submitting a grievance in writing.

8.1

MANAGEMENT PROCESS

The grievances will be addressed in a fair and transparent manner. Confidentiality aspects in relation to grievances received will be maintained.

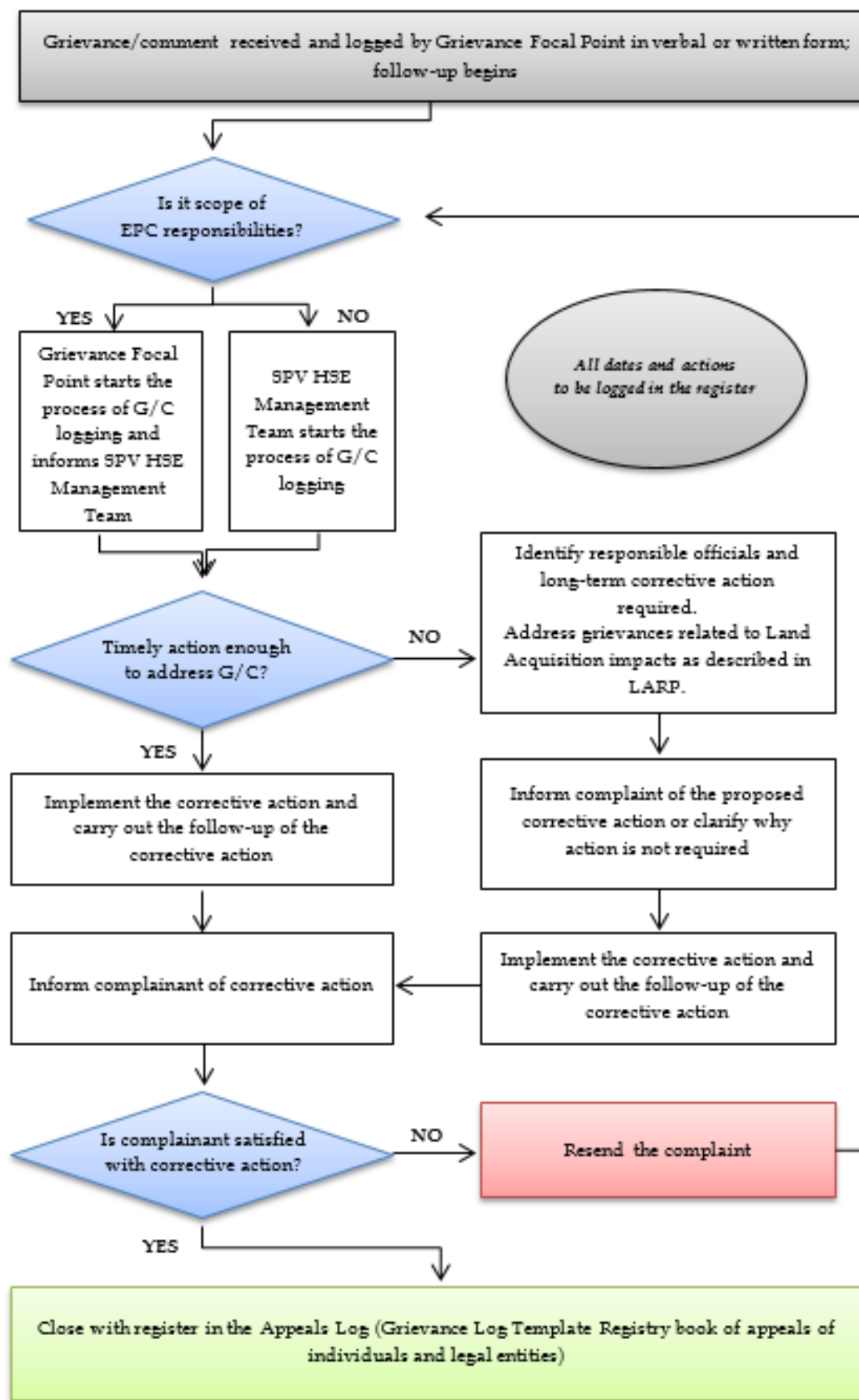
The grievances will be reviewed as soon as they are received/collected by the EPC Social Expert in the field, by case, and prioritized for resolution. Priority status would be given to grievances about accidents, unsafe conditions, safety deterioration, etc. which related to construction sites, workers behavior and other Project activities, requiring immediate actions to resolve the problem (Table 8-1). A due diligence on the grievance regarding land acquisition will be performed by the Consortium, in order to establish its eligibility under the Lenders' policies. This step will be taken before the complaint is sent to the Government. If the complaint is eligible, then for the complaint to be resolved, it will require actions, from both the Consortium and the Government, as it will be specified in the entitlement matrix of the Risk Management Plan.

Table 8-1 *Timing to be applied for grievance handling during construction and operation*

Issue	Timing
<i>Construction period (2019 - 2023)</i>	
Construction related accidents and emergencies	Immediately
Unsafe conditions, safety deterioration, noise and dust, workers behavior, traffic, etc.	1-2 days
Land acquisition	30 days
Other questions, comments	30 days
<i>Operation (upon completion of the construction approximately in 2023 - 2024)</i>	
Safety issues	1-2 days
Other questions, comments	30 days

The figure below describes the process defined for managing grievances from the communities and/or other external stakeholders (Figure 8-1).

Figure 8-1 Flow chart of the grievance management process



A simple data base should be developed to manage and monitor grievances. For every grievance received, the following information will be logged in this database:

- the name and contact details of the complainant;
- the date and nature of the grievance;
- the name of the technical staff charged with addressing the grievance, if appropriate;
- any follow up actions taken;
- the proposed resolution of the grievance;
- how and when relevant Project decisions were communicated to the complainant;
- whether a longer-term management actions have been taken to avoid the recurrence of similar grievances in the future, if applicable.

The responsibility to manage and solve the received grievances lies with the SPV including for the situations where contractors are involved. The grievances at site will be collected by the EPC Social Expert and responded and reported to the SPV HSE Management Team. The grievances beyond the scope of the EPC will be addressed by the SPV HSES Management Team.

Although there may be situations when a grievance is passed to a third party for resolution, the ultimate responsibility for grievance resolution lies with the SPV, including for cases where the contractor fails to reach an acceptable resolution. To ensure the third parties' buy-in with the receipt and solution of grievances, the SPV will include relevant clauses and conditions concerning grievance management, resolution and respective responsibilities in their contracts with the contractors.

In case of grievances related to the expropriation, the SPV will inform that RoK government is responsible for this process and will send an official request to the akimats for resolution. In case that the akimats are unable to resolve the case, the SPV will take all possible measures to resolve the issue.

The SPV will appoint the EPC Social Expert who will be stationed in Almaty. Social expert will be travelling on a regular basis along the BAKAD route and will be available to meeting with the PAPs and other stakeholders to inform them about the Project, the ESIA/ESMP and current Project activities. His contact details will be available to the District and Rural Okrugs akimats.

The Social Expert will have the following day to day responsibilities relating to engagement with affected communities during the lifetime of the Project:

- Provide Project related information on behalf of the SPV;
- Receive grievances in accordance with adopted grievance mechanism;
- Collect the public views about the Project and answer questions;
- Coordinate communication with local communities and follow-up on responding to comments and concerns from public as well as on external communications about the Project;
- Manage the Grievance Procedure;
- Ensure the overall smooth continuation of consultation and the Stakeholder Engagement after the Disclosure Period.

The SPV will make sure that the composition of the EPC Social Experts will allow to meaningfully address the concerns of women.

The contact details of the EPC Social Expert will be posted on the SPV Website and in local mass media, including following information in Kazakh, Russian, and English:

- Name
- Position
- Department
- Business phone number
- E-mail address
- Reception hours, etc.

The Social Expert will monitor the following indicators in relation to the grievances received and these will be included in the periodic project monitoring reports to the international lenders and/or external communications of the Project Developer:

- Number of grievances during the reporting period;
 - opened,
 - resolved,
 - closed;

- Categorization of grievances (as relevant to the Project – for example, land acquisition/ compensation/ noise/ traffic/ safety);
- Trend in time (for example, number or category of complaints compared with previous reporting periods).

The SPV will consider the option of keeping a profile of those who lodge a grievance by gathering data such as gender, age and location (while still guaranteeing that those who wish to register a grievance can remain anonymous and are free to give as little personal information as they wish). Collecting such profile information may be useful to gain an understanding of who and where is most affected by potentially negative impacts of the project.

The List of Affected Settlements

(settlements, located within the Project SAoI as of August 2018)

List of settlements, located within the SAoI (Affected Settlements)

No	Rural Okrug	Settlement	BAKAD (KP) / Quarry/ Transportation route	Population (2017)
BAKAD RoW				
Karasaysky District				
1.	Raiymbeksky RO	Kyrgauldy	0+000 km (Interchange)	7743
2.		Gardening Partnerships	1+300 km – 2+000 km	No data
3.		Raiymbek	1+900 km – 3+300 km	6458
4.		Bulakty	5+200 km – 5+500 km	5308
5.	Irgeliysky RO	Gardening Partnerships	7+500 km – 13+700 km	No data
6.		Kemertogan	7+000 km – 11+700 km	2896
7.	Yeltaiysky RO	Gardening Partnership Soyuzpechat	19+500 km– 19+900 km	No data
8.		Gardening Partnership Ogonyok	20+500 km– 20+900 km	No data
9.		Gardening Partnerships	20+900 km– 21+000 km	No data
10.		Razyezd 71 (<i>*Pogranichnik Gardening Partnership according to some sources</i>)	21+300 km – 21+500 km	431
11.		Isayevo	22+500 km – 22+700 km	1765
Iliysky District				
12.	KazTSIKovsky RO	Komsomol	31+800 km – 32+300 km	3080
13.		KazTSIK	31+800 km – 32+300 km	13225
14.	Aschibulaksky RO	Zhapek Batyr	35+600 km – 36+500 km	8916
15.		Toli be	36+000 km – 36+500 km	1147
16.		Mukhametzhana Tuimebayeva (<i>M. Tuimebayeva</i>)	36+800 km – 38+200 km	15207
17.		Kokkainar	36+800 km – 38+200 km	3929
18.	Baiserkinsky RO	Zhanadaur	40+500 km – 41+200 km	3030

No	Rural Okrug	Settlement	BAKAD (KP) / Quarry/ Transportation route	Population (2017)
19.		Intymak	42+000 km - 42+600 km	4650
20.	Energetichesky RO	Pokrovka	45+400 km - 46+800 km	7045
21.		Otegen Batyr	46+000 km	21380
Talgarsky District				
22.	Guldalinsky RO	Zhana Kuat	46+800 km - 47+300 km	3 500
23.		Zhalyn Gardening Partnership	50+600 km	No data
24.	Panfilovosky RO	Kyzyl Tu 4 (Kyzyl Tu 1, 2, 3, Kurylysshy Micro District, Beibitshelik micro district)	52+800 km - 53+000 km	5 357
25.		Nurly Dala Gardening Partnership	51+500 km - 52+150 km	No data
26.		Panfilovo	54+900 km - 55+100 km	10 843
27.	Belbulaksky RO	Taldybulak	64+900 km - 65+300 km	5004
28.	Alatausky RO	Kyzyl-Kairat	65+300 km - 65+800 km	7964
<i>Fabrichny Quarry</i>				
Zhambylsky District				
29.	Kargalysky RO	Kargaly	Fabrichny quarry	24000
Karasaysky District				
30.	Ayteysky RO	Kumaral	Transportation route (A-2 Motorway)	650
31.		Aytey	Transportation route (A-2 Motorway)	3081
32.	Kaskelen		Transportation route (A-2 Motorway)	66442
33.	Zhambylsky RO	Gardening partnerships	Transportation route (M-36 Motorway)	No data
34.		Zhambyl	Transportation route (M-36 Motorway)	2504
35.	Umtylsky RO	Gardening partnerships	Transportation route (Local road)	No data
36.		Koldi	Transportation route (Local road)	1531

No	Rural Okrug	Settlement	BAKAD (KP) / Quarry/ Transportation route	Population (2017)
Issyk quarry				
Enbekshikazakhsky District				
37.	Boleksky RO	Issyk gardening partnership	Issyk quarry	No data
38.		Bolek	Issyk quarry	4355
39.	Baitereksky RO	Baiterek	Transportation route (Kuldjinsky trakt)	17429
40.		Gardening partnership	Transportation route (Kuldjinsky trakt)	No data

The List of Stakeholders

(as of August 2018)

List of Stakeholders

Groups	Composition	Information source, reference / stakeholder contact details	Rationale/comments
1. Organizations (businesses) and individuals who will be affected by temporary or permanent acquisition of land for the Project			
1.1 People, farms, businesses, and organizations affected under the past land acquisition and resettlement	Social Baseline Study revealed pending court cases and outstanding compensation payments	Project documentation Information received during the meeting with the design organisation	To be addressed as part of Risk Management Plan implementation
2. Residents of settlements located in immediate proximity to Project facilities			
2.1 Residents of settlements located in immediate proximity to the BAKAD, transportation routes, quarries, etc.	<p>Residents of settlements in Karasaysky District:</p> <ul style="list-style-type: none"> • Raiymbeksky Rural Okrug – Raiymbek, Bulakty; • Irgelinsky Rural Okrug – Kemertogan; • Eltaysky Rural Okrug – Isaevo, Aksengir, gardeners’ partnerships «Pogranichnik», “Ogonyok”, “Soyuzpechat”; • Ayteysky Rural Okrug – transportation routes from quarry will pass close to Kumaral, Aytey; • Kaskelen – transportation routes from quarry will pass close to Kaskelen; • Zhambylsky Rural Okrug – transportation routes from quarry will pass close to Zhambyl and gardeners’ partnership; • Umtylsky Rural Okrug – transportation routes from quarry will pass close to Koldi and gardeners’ partnership. <p>Residents of settlements in Iliysky District:</p> <ul style="list-style-type: none"> • KazTSIKovsky Rural Okrug – KazTSIK and Komsomol; • Aschibulaksky Rural Okrug – Tole Bi, Zhapek Batyr, Kokkainar, Mukhametzhana Tuymebaeva; • Baiserkinsky Rural Okrug – Zhanadaur, Yntymak, Koyankus; • Energetichesky Rural Okrug – Pokrovka, Otegen Batyr. <p>Residents of settlements in Talgarsky District:</p> <ul style="list-style-type: none"> • Panfilovsky Rural Okrug – Panfilovo, Kyzyl Tu-4; • Belbulaksky Rural Okrug – Taldybulak; • Alatausky Rural Okrug – Kyzyl Kayrat; 	Social Field Survey	<ul style="list-style-type: none"> • Increased traffic and noise pollution during construction and operation of the motorway • Cohesion of settlements; • Walking accessibility of and vehicle access to residential areas; • Division (fragmentation) of agricultural lands; • Relocation of a cemeteries.

Groups	Composition	Information source, reference / stakeholder contact details	Rationale/comments
	<ul style="list-style-type: none"> Guldalinsky Rural Okrug – Zhana Kuat, gardeners’ partnership “Zhalyn”. <p>Enbekshikazakhsky District:</p> <ul style="list-style-type: none"> Bolesky Rural Okrug - Quarry will be located close to the gardener’s partnership “Issyk”; Baitereksky Rural Okrug - transportation routes from quarry will pass close to Baiterek and gardener’s’ partnership. <p>Zhambylsky District:</p> <ul style="list-style-type: none"> Kargalinsky Rural Okrug – Quarry will be located close to the Kargaly. 		
3. Community councils			
Community Councils/Council of elders/Community informal leaders	<p>Council of elders</p> <ul style="list-style-type: none"> Council of elders of Raiymbeksky Rural Okrug Council of elders Eltaysky Rural Okrug <p>Community Councils</p> <ul style="list-style-type: none"> Community Councils of Irgelinsky Rural Okrug Community Councils of KazTSIKovsky Rural Okrug Community Councils of Aschibulaksky Rural Okrug Community Councils of Baiserkinsky Rural Okrug Community Councils of Pokrovka Council of elders of Panfilovsky Rural Okrug <p>Community informal leaders/ Experts</p> <ul style="list-style-type: none"> Victor Khizhnyakov Vasiliy Rezvan 	Social Field Survey	<ul style="list-style-type: none"> Increased traffic and noise pollution during construction and operation of the motorway Intersection of rural settlements; Limitation of the access to the social facilities;
4. Organisations (businesses) and individuals conducting commercial and other activities in the area around the proposed project operations			
Land users in the area of proposed operations	<ul style="list-style-type: none"> Organisations with utility lines located within the construction area: <ul style="list-style-type: none"> 1. RG Brands Pepsi Organisations (businesses) and individuals conducting commercial and other activities in the area around the 	Social Field Survey	<ul style="list-style-type: none"> Increased traffic and noise pollution during construction and operation of the motorway

Groups	Composition	Information source, reference / stakeholder contact details	Rationale/comments
	<p>proposed project operations:</p> <ol style="list-style-type: none"> 1. Shop of furniture "Asia Furniture" 2. Shop "Aspan" 3. TOO "Dom Servis" Zhana Kuat <ul style="list-style-type: none"> • Agricultural organisations and individuals conducting agricultural activities in the area around the proposed project operations <ol style="list-style-type: none"> 1. Owner-operated farm "Badenko", 2. Owner-operated farm "Kim" 3. Udartseva Anna Owner-operated farm "Anna", 4. Owner-operated farm Isaeva Aiman 5. Owner-operated farm named after Kisanov (Kaztsik) 6. 28 of teachers who have own -operated farms to the north from Taldybulak 		
5. Government authorities and regulators			
National authorities	President of the Republic of Kazakhstan	http://www.akorda.kz/en	Authorised body (Project Initiator)
	Ministry of Industry and Infrastructure Development of the Republic of Kazakhstan	http://www.miid.gov.kz/en	General government issues
	Transport Committee of the Ministry of Industry and Infrastructure Development of the Republic of Kazakhstan	http://transport.miid.gov.kz/en	Permits and approvals
	Ministry of Finance of the Republic of Kazakhstan	http://minfin.gov.kz/	National budget issues
	Ministry of Justice of the Republic of Kazakhstan	http://www.adilet.gov.kz/en	Permits and approvals Land acquisition issues
Regional authorities	Akimat of the Almaty Region	http://zhetyssu.gov.kz/	Permits and approvals Land acquisition issues
	Land Relation Department of Almaty Region	http://www.almoblzem.gov.kz/	Permits and approvals

Groups	Composition	Information source, reference / stakeholder contact details	Rationale/comments
			Land acquisition issues
	Department of passenger transport and highways of Almaty Region	http://avtozhodary.zhetisu.gov.kz/	Permits and approvals
	Department of architecture and urban development of Almaty Region	http://saulet.zhetisu.gov.kz/	Permits and approvals
	Police Department of Almaty Region	http://mvd.gov.kz/portal/page/portal/almo/MAIN	Reference information
Local authorities	Karasaysky District Akimat <ul style="list-style-type: none"> • Raiymbeksky Rural Okrug • Irgeliysky Rural Okrug • Eltaysky Rural Okrug 	http://karasay.zhetisu.gov.kz/	Permits and approvals Land acquisition issues Organisation of engagement with local community
	Iliysky District Akimat <ul style="list-style-type: none"> • Kaztsikovskiy Rural Okrug • Aschibulakskiy Rural Okrug • Bayserkensky Rural Okrug , • Energeticheskyy Rural Okrug 	http://www.iletany.gov.kz/page_lang_r.html	Permits and approvals Land acquisition issues Organisation of engagement with local community
	Talgarsky District Akimat <ul style="list-style-type: none"> • Panfilovskiy Rural Okrug • Belbulasky Rural Okrug • Alatausky Rural Okrug • Guldalinskyy Rural Okrug 	https://www.akimat-talgar.gov.kz/	Permits and approvals Land acquisition issues Organisation of engagement with local community
	<ul style="list-style-type: none"> • Enbekshikazakhskiy District - Boleksky Rural Okrug • Dzhambylsky District- Kyrgalinskyy rural districts 	http://www.enbekshikazah.gov.kz/index.php/ru/ http://zhambyl.zhetisu.gov.kz/pages/220/	Organisation of engagement with local community
Local municipal organization	<ul style="list-style-type: none"> • Karasaysky Central District Hospital • Iliysky Central District Hospital • Talgarsky Central District Hospital 		Reference information

Groups	Composition	Information source, reference / stakeholder contact details	Rationale/comments
	<ul style="list-style-type: none"> MUP TalgarIrrigatsia IlIrrigatsia 		
6. Organisations within the Project, their personnel and contractors			
Design developers and design organisations	TOO NIIPK “Kazdorinnovatsia” TOO “KazTsEP”	http://kazroadinnovation.kz/	Design Organisation
Project partners and consultants	ERM Eurasia The list may be extended/ verified	http://www.erm.com	Internal stakeholders
Suppliers and construction contractors	The list may be extended/ verified during development of the design documentation		Internal stakeholders
Shareholders and Lenders	European Bank for Reconstruction and Development (EBRD) International Finance Corporation Asian Development Bank Islamic Development Bank	http://www.ebrd.com/ https://www.ifc.org/ https://www.adb.org/ https://www.isdb.org/	Lenders
6. Non-government organisations and independent experts			
Specialised environmental, public, and research organisations; experts	The list may be extended/ verified during development of the design documentation and stakeholder engagement process <ul style="list-style-type: none"> NGO “Almerek Baba” LLP “Archaeological expertise” Scientific archaeological community Chamber of entrepreneurs 	- http://businessnavigator.kz/en/branch/OF_AZ_ALMEREK_BABA_2972/?CODE=OF_AZ_ALMEREK_BABA_2972	Potential interest in the Project
7. Mass media			
Mass media	Web-sites of District Akimats: “Ask Akim a question” <ul style="list-style-type: none"> Local newspapers in Talgar District –“Talgar” Local newspapers in Iliysky district –“Ile Tany” Local newspapers in Karasaysky district –“Zaman Zharshysy” 	http://zhetysu.gov.kz/ru/faq/ https://www.akimat-talgar.gov.kz/site/contact	Communication means

Groups	Composition	Information source, reference / stakeholder contact details	Rationale/comments
		http://iletany.kz/lang_n/blog_akima/r_blog_msg.htm	
8. Vulnerable community groups potentially affected by the Project			
Vulnerable community groups potentially affected by the Project	<ul style="list-style-type: none"> Local residents who may be difficult to engage due to age, disability, education level, social or economic status, etc. 	-	Potential adverse impacts of the Project

The Republic of Kazakhstan legislation and International Requirements on stakeholder engagement

REQUIREMENTS OF THE ROK LEGISLATION RELATING TO PUBLIC CONSULTATION AND INFORMATION DISCLOSURE

The RoK legislation states that the public should be informed about the Project and have an opportunity to comment on the information provided to it during the development / discussion of the Project.

Pursuant to the 2007 Environmental Code of the Republic of Kazakhstan and amendments introduced by Item 2-4, Article 57, Law No 126-VI dated 27 December 2017 (signed into law 29 June 2018) of the Republic of Kazakhstan:

- All interested individuals and public associations will be provided with an opportunity to express their opinion during the state environmental expert review process;
- Public hearings will be held in relation to projects, which may directly affect the environment and human health;
- Environmental protection action plans developed for Category I and II facilities for the purposes of emission permits will be subject to public hearings;
- The procedure of public hearings will be determined by an authorised environmental protection authority and will:
 - Identify stakeholders;
 - Specify locations where information and consultations can be received;
 - Specify public notification methods (posters, press publications, exhibitions displaying plans, schedules, drawings, models etc.);
 - Specify public consultation methods (written statements, polling);
 - Duration of the public hearing process.

Following the state environmental review, all stakeholders will be able to receive information about the target of the review in the manner prescribed by the Environmental Code.

Pursuant to Article 163 of the Environmental Code, environmental information will be public except as required by the applicable laws of the Republic of Kazakhstan. Access to specific data and materials is provided through responses containing such data to requests for information submitted by individuals and legal entities, distribution of such data in the media including special publications and the Internet, and in generally available means of communication.

Pursuant to the Instruction on environmental impact assessments of proposed economic and other activities as part of the development of pre-planning, planning, pre-design and design documents (Article 49, Law No 126-VI dated 27 December 2017 (signed into law 29 June 2018) of the Ministry of Environmental Protection of the Republic of Kazakhstan), the customer will at all stages of the environmental impact assessment (EIA):

- Ensure the provision of information to and participation of the interested public in the EIA process;

- Provide the interested public with access to the EIA materials.

The public hearings is main organisational form of determining the public opinion. The public hearings cover results of the Preliminary EIA and the EIA of proposed economic activities that may have a significant impact on the environmental and human health.

Pursuant to the Rules of Public Hearings (Order No 135 dated 7 May 2007 as amended on 8 September 2017 of the Minister of Environmental Protection of the Republic of Kazakhstan), public hearings are held in relation to projects that may directly affect the environment and human health and to draft environmental protection action plans. Public hearings provide participants equal rights to express their reasoned opinions based on documentary materials on the issue containing public information.

Participants of public hearings include:

- Interested public;
- Public and non-governmental organisations and associations;
- Local executive and representative bodies, governmental bodies authorised to make relevant decisions;
- Mass media.

The Rules of the Public Hearings also state that the initiator of proposed economic activities will arrange public hearings to discuss the EIA materials. The customer will make a preliminary agreement with local executive authorities regarding the date and venue of the public hearings and include this information in a public hearing announcement to be published in the media by the customer. The announcement should be published in 20 days prior to the date of the public hearings. The local authorities should provide the access to the EIA materials in 20 days prior to the date of the public hearings.

The customer may use additional means of notifying the public (information sheets, stands etc.).

The announcement should also specify contact details of offices where members of the public may review the EIA materials. Starting from the date of the announcement, the customer will provide the public with access to the EIA materials. The public hearings will be held irrespective of the number of participating members of the public.

During the hearings, any participant will have the right to express his or her opinion and address questions to – and receive answers from – the speakers.

The results of the public hearings will be documented in minutes. The customer and EIA developer will review the results and may decide to improve the Project to incorporate public opinions.

The Project Initiator will be responsible for the financing, technical and information support of the public hearings.

INTERNATIONAL REQUIREMENTS

The International Finance Corporation (IFC) requirements

The requirements to for the consultations with the external stakeholders are defined in the IFC Social and Environmental Sustainability Policy and in the respective IFC Performance Standards and Guidelines.

According to the IFC requirements, public consultations should be carried out in the process of preparing the ESIA document on environmental and social aspects of the Project.

Based on the outcome of the consultations, the attitude of the stakeholders should be taken into consideration. The consultations should be conducted as early as possible. The relevant project-related information should be made accessible in advance. The Company should carry out subsequent consultations in the course of the Project implementation.

IFC requirements to public consultations and information disclosure are summarized below:

- be free of external manipulation, interference, or coercion, and intimidation,
- involve all representatives of local communities (including women, aged people, children, etc.),
- be provided with a preliminary analysis of stakeholders,
- initiate both open meetings with local communities and meetings with the leaders of local communities,
- give clear information on potential risks associated with Project implementation,
- be initiated at an early stage (especially for projects with significant adverse impacts),
- be based on timely, actual, understandable and accessible information available in the language preferred by the affected communities,
- inform that the Terms of Reference provides for carrying out of an environmental and social assessment,
- make possible to define time periods and possibilities for making collective decisions (especially for indigenous people) and the appropriate feedback mechanism,
- stimulate the development of a transparent Action Plan on the basis of an Environmental and Social Management Plan, and
- ensure monitoring of all essential changes in planning of the scope of projects and the project implementation procedure

The European Bank for Reconstruction and Development (EBRD) requirements

The EBRD recognises the importance of stakeholder engagement as an essential element of good international practice and corporate citizenship.

PR10 contains the following provisions:

- *Development of a Stakeholder Engagement Plan* in order to outline how communication with identified stakeholders will be handled throughout Project preparation and implementation.
- *Information disclosure*. Disclosure of relevant project information helps stakeholders better understand the risks, impacts and opportunities associated with the Project.
- *Meaningful consultation*. If employees and/or affected communities will or may be exposed to significant risks or adverse impacts from the project, the Company will undertake a meaningful consultation in a manner that provides stakeholders with opportunities to express their views on project risks, impacts, and mitigation measures, and allows the Company (project proponent) to consider and respond to them.
- *Grievance mechanism*. The Company will need to be aware of and respond to stakeholders' concerns related to the Project in a timely manner. For this purpose, the Company will establish an effective grievance mechanism to receive and facilitate resolution of stakeholders concerns and grievances, in particular, about the Company's environmental and social performance.

Asian Bank for Reconstruction and Development (ADB) Requirements

ADB provides idea that effective communications and exchange of information and ideas with stakeholders is a vital component of effective and sustainable development.

ADB's *Safeguard Policy and Public Communications Policy (2011)* sets out disclosure requirements for various ADB activities, including safeguard requirement. Safeguard Requirements 2: Involuntary Resettlement (Appendix 2 of SPS); and Safeguard Requirements 3: Indigenous Peoples (Appendix 3 of SPS) sets out the need for meaningful consultation and information disclosure during Project preparation and operation to the affected peoples and other stakeholders. Key requirements include:

- **Information disclosure to affected people or stakeholders:** The borrower/client will provide relevant environmental information in a timely manner, in an accessible place and in a form and language(s) understandable to affected people and other stakeholders. For illiterate people, other suitable communication methods will be used.
- **Consultation and Participation:** The borrower/client will carry out meaningful consultation with affected people and other concerned stakeholders, including civil society, and facilitate their informed participation.
- **Timing and Frequency for consultation and participation:** Meaningful consultation begins early in the Project preparation stage and is carried out on an ongoing basis throughout the Project cycle.

A Public Grievance Form

Document number:	
Full name <i>Note: please mark, whether you agree to disclose your personal details to third parties without your consent?</i>	Name Surname _____ <input type="checkbox"/> I ask not to disclose my personal details without my consent / I would like to submit this grievance anonymously
Contact details <i>Note: Please mark how you wish to be contacted (mail, telephone or e-mail)</i>	<input type="checkbox"/> Address _____ <input type="checkbox"/> Telephone / e-mail _____
Preferred Language for communication	<input type="checkbox"/> Kazakh <input type="checkbox"/> Russian <input type="checkbox"/> English <input type="checkbox"/> Other (please, specify) _____
Description of an incident or a grievance: What has happened? Where did it happen? Who was involved in an incident? What are the consequences?	
Date of Incident / Grievance	<i>Please mark the date (month / year)</i>
	<input type="checkbox"/> One time incident (date) <input type="checkbox"/> Happened more than once (how many times?) <input type="checkbox"/> Ongoing (current problem)
What would you like to see happen to resolve the problem?	
Signature:	
Date:	
Please send this form to the following address:	
<ul style="list-style-type: none"> office 403, 55/1, Zhangozin Str., Kaskelen city, Almaty Region, 040900, Republic of Kazakhstan; orayman.zhanuzakova@bakad.com.kz 	

