

Annex B. Social and Environmental Screening Template

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

Project Information	
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1. Project Title	Strengthening the National Capacity of the Republic of Kazakhstan to Regulate Chemicals Through Ensuring Compliance with Obligations Under International Multilateral Environmental Agreements
2. Project Number	
3. Location (Global/Region/Country)	Republic of Kazakhstan

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

QUESTION: How does the project integrate the overarching principles to address Sustainable Social and Environmental Sustainability?

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

The project will aim to demonstrate to state officials and civil society that internationally recognized best practices that generate self-sufficiency can have local benefits. By sharing the information on best practice of sound chemical management through different awareness raising and training activities, the project can demonstrate this in a more powerful way than by training people about the chemical waste management in general.

Through trainings, joint work with national and international experts in the Working Group and various projects in the country, the capacity of relevant national officials and decision-makers on chemicals management is being strengthened. This creates a good human resource base for the sustainable operation of the Government and promotes institutional strengthening of chemicals management for the long term.

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

The project provides equal opportunities for men and women by considering all aspects of gender equality, i.e. equal rights during production and distribution of resources.

Generally, three groups are most vulnerable from the effects of hazard chemical: The unborn child, small children and people who are regularly exposed (chronic exposure) to high levels of hazard chemical (people who are exposed through their occupations). Mandatory consideration will be given to the specific needs of women during project implementation. Special measures will be developed within the framework of the project for each project partner and major stakeholder, considering gender characteristics and improving the gender balance in the society. The project will develop an analytical report on gender mainstreaming in chemical sector, including the baseline analysis and recommendations on inclusion of gender issues at the national level.

Moreover, the Ministry of Health will be provided with expert assistance to strengthen control over measures to reduce the impact of hazardous substances on women.

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

The issues of ensuring chemical safety, improving the mechanisms for the regulation of chemical substances are fundamental in the relevant section of the "Environmental Code of RK" and "Concept of the Transition of the RK to the Green Economy" for ensuring sustainable development of the country. This will create the necessary political framework

For promoting the strengthening of synergies between MEAs and their coordination, the Pollutant Release and Transfer Register (PRTT) can facilitate the implementation and synergy of all conventions. The ratification of the PSTP will provide instruments on regulatory and monitoring of chemical hazardous. Changes to policy and institutional frameworks will reinforce the message that Kazakhstan fulfills its commitment under the chemical Conventions and SDGs principles.

Part B. Identifying and Managing Social and Environmental Risks

Risk Description	Impact and Probability (1-5)	Significance (Low, Moderate, High)	Comments	Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.
<p>Risk 1: Frequent government changes can lead to unforeseen changes in policies that will affect the achieving of project targets</p>	<p>1 = 2 P = 2</p>	<p>Low</p>		<p>The project will mainly work at the level of heads of structural subdivisions of state bodies, thus providing institutional memory in the process of its implementation.</p> <p>To address changes during the project it will be necessary to train new staff and renegotiate/explain again what was already agreed to, which is time and resource intensive. In the longer term, the concrete deliverables will provide examples, and project will focus on making enduring materials available to facilitate learning after the project.</p>
<p>Risk 2: Poor cooperation between project stakeholders</p>	<p>1 = 2 P = 2</p>	<p>Low</p>		<p>The project will clarify the role and responsibility of local government authorities, NGOs, business sector and local communities in ensuring sound management. As per activities under Component 2 the available information will be equally shared and exchanging chemicals through ed, ensuring full cooperation of relevant representatives.</p>
<p>Risk 3: Difficulties in including proposals in national legislation since Government bodies do not recognize the issues of chemicals management as priorities for the country are surmountable.</p>	<p>1 = 2 P = 2</p>	<p>Low</p>		<p>Organization of expert meetings and meetings for representatives of authorized bodies to explain the importance and need to introduce safe management of chemicals in national legislation.</p> <p>The project has been designed to be implementable under current legislation, and based on strong support from the national government. In the medium term these barriers will</p>

			be addressed through other UNDP initiatives, along with efforts of others.
QUESTION 1: How do you identify the overall project risk categorization?			
Select one (see SESP for guidance)			Comments
	Low Risk	<input checked="" type="checkbox"/>	
	Moderate Risk	<input type="checkbox"/>	
	High Risk	<input type="checkbox"/>	
QUESTION 2: Based on the identified risks and risk categorization, what requirements of the SESP are relevant?			
Check all that apply			Comments
	Principle 1: Human Rights	<input type="checkbox"/>	
	Principle 2: Gender Equality and Women's Empowerment	<input type="checkbox"/>	
	1. Biodiversity Conservation and Natural Resource Management	<input type="checkbox"/>	
	2. Climate Change Mitigation and Adaptation	<input type="checkbox"/>	
	3. Community Health, Safety and Working Conditions	<input type="checkbox"/>	
	4. Cultural Heritage	<input type="checkbox"/>	
	5. Displacement and Resettlement	<input type="checkbox"/>	
	6. Indigenous Peoples	<input type="checkbox"/>	
	7. Pollution Prevention and Resource Efficiency	<input type="checkbox"/>	

Final Sign Off

Signature	Date	Description
QA Assessor Programme Assistant Energy and Environment 	22.09.19	UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver 	27.09.19	UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
PAC Chair Irina Goryunova Assistant Resident Representative 		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

 Final signature
09.19

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks	
Principles 1: Human Rights	Answer (Yes/No)
1. Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
2. Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups?	No
3. Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4. Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
6. Is there a risk that rights-holders do not have the capacity to claim their rights?	No
7. Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
8. Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
Principle 2: Gender Equality and Women's Empowerment	
1. Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2. Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
3. Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No
4. Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being?	No
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below	
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management	
1.1. Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and critical habitats (e.g. modified, natural, and critical habitats) services?	No
<i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	

Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

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

² In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). (The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.)

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

3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to extreme climatic conditions? (e.g. landslides, erosion, flooding or extreme climatic conditions)	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3	Is there a risk that the Project would lead to forced evictions?	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	No
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? <i>If the answer to the screening question 6.3 is "yes" the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i>	No

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