# Appendix 2: SOCIAL AND ENVIRONMENTAL SCREENING

**Information about the project**

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| ***Information about the project*** |  |
| 1. Project title | Creation of conditions for the reintroduction of the Turanian tiger and assistance in the preservation of natural, historical and cultural objects of the Ulytau mountain range |
| 1. Project number |  |
| 1. Duty station (Global / Region / Country) | The Republic of Kazakhstan |
| 1. Stage of the project | Design |
| 1. Date |  |

**Part A. Integration of fundamental principles to strengthen social and environmental sustainability**

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| **QUESTION 1: How does the project integrate the underlying principles to enhance social and environmental sustainability?** |
| ***Briefly describe how the project will implement a human rights-based approach*** |
| In accordance with a human rights-based approach, the project is aimed, among other things, at equal access for all local residents to the benefits obtained, regardless of gender, age, religion, etc., as well as at the equal right to be heard in the processes of biodiversity conservation and historical cultural heritage. The principles of participation, accountability, equality and non-discrimination will apply. |
| ***Briefly describe below how the project will contribute to gender equality and women's empowerment*** |
| The project will promote gender equality and the advancement of women through specially planned activities for training, access to resources and governance. This will be taken into account by the project when implementing project activities. |
| ***Briefly describe below how the project will implement the principles of environmental sustainability*** |
| The project increases the resilience of ecosystems, the sustainability of income generation for local residents, the sustainability of PAs |
| ***Briefly describe below how the project enhances concerned parties accountability*** |
| All stakeholders are involved in the decision-making process on the project, they are identified both in the project proposal and will be clarified during the implementation of the project at meetings with local authorities, communities, interested departments and NGOs. Accountability to stakeholders is achieved through continuous monitoring and reporting of project progress throughout the cycle. |

**Part B. Identification and management of social and environmental risks**

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| **QUESTION 2:** What are the potential social and environmental risks?  Note: Briefly describe the potential social and environmental risks identified in Appendix 1 - Risk Screening Checklist (based on any “Yes” answers). If Appendix 1 does not indicate any risks, check “No risks identified” and go to Question 4 and select “Low risk”. Low-risk projects do not require answers to Questions 5 and 6. | **QUESTION 3: What is the significance of social and environmental risks?**  Note: Please answer questions 4, 5 before moving on to question 6 | | | | | | **QUESTION 6: What social and environmental assessment and management measures have been implemented and / or necessary to address potential risks (for risks of moderate to high significance)?** | | |
| ***Description of the risk*** | ***Impact and likelihood (1-5)*** | ***Significance level***  ***(low, moderate, high)*** | ***Comments*** | | | | ***Description of assessment and management measures as specified in the Project structure. If ESIA (Environmental and Social Impact Assessment) or SESA (Society for Environmental Impact Research) certificate is required, please note that the assessment must take into account all potential risks and consequences.*** | | |
| No risks identified | N/A | N/A | N/A | | | | N/A | | |
|  | **QUESTION 4: What risk groups have been identified for the project?** | | | | | | | |
| **Check one (see for SESP reference)** | | | | | | **Comments** |
| ***Low risk*** | | | **☐** | | | The project has low social and environmental risks. |
| ***Moderate risk*** | | | **☐** | | |  |
| ***High risk*** | | | **☐** | | |  |
|  | **QUESTION 5: Based on the identified risks and their categorization, what screening requirements are most relevant?** | | | | | |  |
| Questions only for projects with medium, significant and high risks | | | | | | |
| ***Do you need an assessment? (check if yes)*** | | | **☐** | |  |  |
| If yes, define the type and status | | |  | | **☐** | Target estimates |
|  | | |  | | **☐** | Environmental and social impact assessment |
|  | | |  | | **☐** | Strategic environmental and social impact assessment |
| ***Are management plans needed (check if yes)*** | | | **☐** | |  |  |
| If yes, define the type and status | | |  | **☐** | | Target management (gender action plan, emergency response, waste disposal plan) |
|  | | |  | **☐** | | Environmental and Social Performance Management Plan |
|  | | |  | **☐** | | Environmental and Social Performance Management Structure |
| **Based on the identified risks, what principle / project level standards have been identified?** | | | **☐** | | | **Comments (not required)** |
| **The basic principle is not to leave anyone behind** | | | **☐** | | |  |
| ***Human rights*** | | | **☐** | | |  |
| ***Gender equality*** | | | **☐** | | |  |
| ***Accountability*** | | | **☐** | | |  |
| **1. Biodiversity conservation and sustainable natural resource management** | | | **☑** | | |  |
| **2. Climate change and emergency risks** | | | **☐** | | |  |
| **3.** **Public health, safety and security** | | | **☐** | | |  |
| **4. Cultural heritage** | | | **☐** | | |  |
| **5. Placement and reallocation** | | | **☐** | | |  |
| **6. Indigenous peoples** | | | **☐** | | |  |
| **7. Working conditions** | | | **☐** | | |  |
| **8. Limiting pollution and resource efficiency** | | | **☐** | | |  |

**Signatures**

The final screening at the design stage is not completed until the following captions are included

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| ***Signature*** | ***Date*** | ***Description*** |
| Person responsible for the quality assessment of the project |  | The UNDP staff member in charge of the project is usually a program officer. The signature implies a screening of social and environmental risks. |
| Person responsible for approving the completed project quality assessment |  | One of the UNDP leaders, usually the Deputy Country Director, Country Director, Deputy Resident Representative or Resident Representative. This role cannot be the same as the project appraiser mentioned above. The signature assumes that the project with social and environmental screening is ready for submission to the Project Appraisal Committee. |
| Chairman of the Project Appraisal Committee |  | Chairman of the UNDP Project Evaluation Committee. In some cases, this role may be the same as that of the person responsible for approving the assessment. The signature suggests that the screening findings were reviewed by the Committee and reflected in the recommendations following the Committee meeting. |

# SOCIAL AND ENVIRONMENTAL RISK SCREENING CHECKLIST

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| INSTRUCTIONS: The Risk Screening Checklist will help answer questions 2-6 of the Screening Template. The answers to the checklist questions help (1) identify potential risks, (2) determine the overall risk classification of the project, and (3) determine the level of assessment and management action required. See the SES toolkit for additional guidance on how to deal with screening issues. |  |
| **Principle 1: Leave No One Behind**  **Human rights** | **Answer**  **(Yes/No)** |
| 1. Have local communities or individuals raised human rights concerns about the project (e.g., through stakeholder engagement, grievance handling, public statements)? | No |
| 2. Is there a risk that duty bearers (eg government agencies) will not be able to fulfill their project commitments? | No |
| 3. Is there a risk that rights holders (e.g., project-affected persons) will not be able to claim their rights? | No |
| *Can the project potentially involve or result in:* |  |
| 4. Adversely affecting the enjoyment of human rights (civil, political, economic, social or cultural) of the affected population and especially marginalized groups? | No |
| 5. unfair or discriminatory impact on affected populations, especially people living in poverty, or marginalized or excluded individuals or groups, including people with disabilities?[[1]](#footnote-1) | No |
| 6. restrictions on the availability, quality and / or access to resources or basic services, in particular for marginalized individuals or groups, including persons with disabilities? | No |
| 7. exacerbation of conflicts between communities and individuals affected by the project and / or risk of violence? | No |
| **Principle 2: Gender Equality and the Empowerment of Women** |  |
| 8. Have women's groups/leaders raised gender equality issues in relation to the project (e.g., through stakeholder engagement, grievance handling, public statements)? | No |
| *Can the project potentially involve or result in:* |  |
| 1. Adversely affecting gender equality and / or the position of women and girls? | No |
| 1. Could the project potentially limit women's opportunities to use, develop and protect natural resources, taking into account the differences in the roles and positions of women and men in accessing environmental goods and services? | No |
| 1. limiting women's ability to use, develop and protect natural resources, taking into account the different roles and positions of women and men in accessing environmental goods and services? | No |
| 1. For example, activities that can lead to the degradation or depletion of natural resources in communities that depend on these resources for their livelihoods and well-being. | No |
| **Environmental sustainability:** Screening questions related to environmental risks include the following standards-related questions. |  |
| **Accountability** |  |
| *Will the project potentially be involved or lead to:* |  |
| 13. excluding any potentially affected stakeholders, in particular marginalized groups and excluded persons (including persons with disabilities), from full participation in decision-making that may affect them? | No |
| 14. complaints or objections from potentially affected concerned parties? | No |
| 15. risks of retaliation or retaliation against stakeholders who express concerns or grievances, or who seek to participate in or gain information about the project? | No |
| **Project-level standards** |  |
| **Standard 1: Biodiversity Conservation and Sustainable Management of Natural Resources** |  |
| *Can the project potentially involve or result in:* |  |
| 1.1 Could the project have potentially adverse impacts on habitats (eg modified, natural and critical habitats) and / or ecosystems and ecosystem services? | No |
| 1.2 Are any project activities proposed within or near critical habitats and/or ecologically problem areas, including legally protected areas (e.g., nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources, by the local population (indigenous) or communities? | No |
| 1.3 Does the project foresee changes in land and resource use that could adversely affect habitats, ecosystems and/or livelihoods? (Note: if restrictions and/or limits on access to land apply, see Standard 5. | No |
| 1.4 Could the project activities be hazardous to endangered species? | No |
| 1.5 Facilitating the illegal wildlife trade | No |
| 1.6 Will the project pose a risk of introducing invasive alien species? | No |
| 1.7 Negative impact on the soil | No |
| 1.8 Does the project include natural deforestation, plantation development or **reforestation?** | yes (reforestation) |
| 1.9 significant agricultural production? | No |
| 1.10 raising livestock or harvesting populations of fish or other aquatic species | No |
| 1.11 significant withdrawal, diversion or retention of surface or groundwater?  For example, the construction of dams, reservoirs, the development of river basins, the extraction of groundwater. | No |
| 1.12 handling or use of genetically modified organisms / living modified organisms?[[2]](#footnote-2) | No |
| 1.13 Does the project include the use of genetic resources? (For example, collection and / conservation, commercial production)?[[3]](#footnote-3) | No |
| 1.14 adverse transboundary or global environmental problems? | No |
| **Standard 2: Climate Change Mitigation and Adaptation** |  |
| *Can the project potentially involve or result in:* |  |
| 2.1 Areas prone to hazards such as earthquakes, floods, landslides, high winds, storm surges, tsunamis or volcanic eruptions? | No |
| 2.2 are the outputs and outcomes sensitive or vulnerable to the potential impacts of climate change or disasters?  For example, due to increased rainfall, drought, temperature, salinity, extreme events, earthquakes. | No |
| 2.3 increased vulnerability to climate change impacts or disaster risks, now or in the future (also known as maladaptive or negative coping practices)?  For example, changes in land-use planning can contribute to the further development of floodplains, potentially increasing the vulnerability of populations to climate change, in particular floods. | No |
| 2.4 an increase in greenhouse gas emissions, black carbon emissions or other climate change drivers? | No |
| **Standard 3: Health, Safety and Working Conditions for Communities** |  |
| *Can the project potentially involve or result in:* |  |
| 3.1 construction and / or development of infrastructure (e.g., roads, buildings, dams)? (Note: The GEF does not fund projects that would build or rehabilitate large or complex dams) | No |
| 3.2 air pollution, noise, vibration, movement, injury, physical hazards, poor surface water quality due to runoff, erosion, sanitation? | No |
| 3.3 damage or loss due to failure of structural elements of the project (for example, collapse of buildings or infrastructure)? | No |
| 3.4 risks of waterborne or other vector-borne diseases (e.g., temporary habitats), infectious and non-communicable diseases, nutritional disorders, mental health? | No |
| 3.5 transport, storage, use and / or disposal of hazardous or hazardous materials (e.g., explosives, fuels and other chemicals during construction and operation)? | No |
| 3.6 adverse impacts on ecosystems and ecosystem services relevant to community health (e.g., food, surface water treatment, natural flood buffer zones)? | No |
| 3.7 inflow of project workers to project areas? | No |
| 3.8 engaging security personnel to protect facilities and property or to support operations | No |
| **Standard 4: Cultural heritage** |  |
| *Can the project potentially involve or result in:* |  |
| 4.1 activities adjacent to or within the cultural heritage site? | No |
| 4.2 significant excavation, demolition, land displacement, flooding or other environmental changes? | No |
| 4.3 adverse impact on sites, structures or sites that have historical, cultural, artistic, traditional or religious values or intangible cultural forms (e.g., knowledge, innovation, practices)? (Note: projects aimed at protecting and preserving cultural heritage can also have unintended adverse consequences) | No |
| 4.4 changes in landscapes and natural sites of cultural significance? | No |
| 4.5 use of tangible and / or intangible forms (eg practices, traditional knowledge) of cultural heritage for commercial or other purposes? | No |
| **Standard 5: Relocation** |  |
| *Can the project potentially involve or result in:* |  |
| 5.1 Will the project potentially involves temporary or permanent, full or partial physical relocation? | No |
| 5.2 Could the project lead to economic displacement (for example, loss of assets or access to resources due to land acquisition or access restrictions - even without physical resettlement)? | No |
| 5.3 Is there a risk that the project will lead to involuntary resettlement?[[4]](#footnote-4) | No |
| 5.4 Could the proposed project affect land tenure arrangements and/or community-based property rights/customary rights to land, territories and/or resources? | No |
| **Standard 6: Indigenous people** |  |
| *Can the project potentially involve or result in:* |  |
| 6.1 Are there indigenous peoples living in the project area (including the project area of influence? | No |
| 6.2 Is there a possibility that the project or some components of the project will be implemented in the areas and territories to which the indigenous people claim? | No |
| 6.3 Could the proposed project potentially affect the rights, lands and territories of indigenous peoples (regardless of whether indigenous peoples have property rights in these territories)?  *If the answer to screening question 6.3 is “yes”, then the potential impact of the risk is considered significant and the project will be classified as either Material Risk or High Risk* | No |
| 6.4 Is there a disregard for the need for culturally sensitive consultation to uphold the principle of free, prior and informed consent (FPIC) on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned? | No |
| 6.5 Does the proposed project provide for the use and / or commercial development of natural resources on lands and territories claimed by indigenous peoples? | No |
| 6.6 Is there a possibility of forced evictions, full or partial physical or economic displacement of indigenous peoples, including by restricting access to lands, territories and resources?  *Review and, if necessary, ensure consistency with answers in accordance with Standard 5* | No |
| 6.7 Could the project adversely affect the development priorities of indigenous peoples set by themselves? | No |
| 6.8 Could the project potentially affect the traditional livelihoods, physical and cultural survival of indigenous peoples? | No |
| 6.9 Could the project potentially impact the cultural heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?  *Review and, if necessary, ensure consistency with answers in accordance with Standard 4* | No |
| **Standard 7: Working conditions** |  |
| *Can the project potentially involve or result in: (note: applies to project workers and contractor)* |  |
| 7.1 working conditions that are inconsistent with national labor laws and international obligations? | No |
| 7.2 working conditions that could impede freedom of association and collective bargaining? | No |
| 7.3 the use of child labor? | No |
| 7.4 the use of forced labor? | No |
| 7.5 discriminatory working conditions and / or lack of equal opportunities? | No |
| 7.6 occupational health and safety risks from physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the life of the project? | No |
| **Standard 8: Pollution Prevention and Resource Efficiency** |  |
| *Can the project potentially involve or result in:* |  |
| 8.1 the release of pollutants into the environment due to routine or unusual circumstances with the potential for adverse local, regional and/or transboundary impacts? | No |
| 8.2 waste generation (both hazardous and non-hazardous)? | No |
| 8.3 production, trade, release and / or use of hazardous materials and / or chemicals? | No |
| 8.4 use of chemicals or materials subject to an international ban or cessation of use?  For example, DDT, PCBs and other chemicals listed in international conventions such as the Montreal Protocol, the Minamata Convention, the Basel Convention, the Rotterdam Convention, the Stockholm Convention. | No |
| 8.5 the use of pesticides that can negatively affect the environment or human health? | No |
| 8.6 significant consumption of raw materials, energy and/or water? | No |

1. Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, gender identity, religion, political or another opinion, national or social or geographic origin, property, birth or another status, including as an indigenous person or member of a minority. “Women and men” or similar means women and men, boys and girls, and other groups discriminated against on the basis of their gender identity, such as transgender people. [↑](#footnote-ref-1)
2. See Convention on Biological Diversity and its Cartagena Protocol on Biosafety. [↑](#footnote-ref-2)
3. See Convention on Biological Diversity and its Nagoya Protocol on Access and Benefit-sharing of Genetic Resources. [↑](#footnote-ref-3)
4. Forced eviction includes actions and/or omissions associated with the forced or involuntary eviction of individuals, groups or communities from homes and/or lands and from the common property resources on which they were employed or on which they depended, which makes it impossible for individuals, groups or communities to live or work in a particular dwelling, place of residence or place without the provision and access to appropriate forms of legal or other protection. [↑](#footnote-ref-4)