## Annex F. Social and Environmental Screening

*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*](http://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-screening-procedure.html) *and* [*Toolkit*](https://intranet.undp.org/unit/bpps/DI/SES_Toolkit) *for guidance on how to answer the 6 questions.*

**Project Information**

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| ***Project Information*** |  |
| 1. Project Title | Derisking Renewable Energy Investment |
| 1. Project Number | 5490 |
| 1. Location (Global/Region/Country) | Kazakhstan |

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

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| **QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?** |
| ***Briefly describe in the space below how the Project mainstreams the human-rights based approach*** |
| Consultations have been undertaken during project identification to determine the stakeholders and their roles during project implementation. These consultations will continue throughout the project cycle. Stakeholders include the Government, the private sector, international organisations and multilateral development bodies, and civil society organisations.  These stakeholders have been and will continue to be consulted with regard to various components of the project, such as development of policy and financial derisking tools for small and large-scale RES, developing business and financial models to support small-scale RES, development and implementation of the media campaign, creating awareness and building capacity of the commercial banks to perform due diligence and financial assessment of small-scale RES projects. A mechanism to deal with grievances and other potential conflict issues will be set up consistent with the Social and Environmental Standards of UNDP (2015). |
| ***Briefly describe in the space below how the Project is likely to improve gender equality and women’s empowerment*** |
| The project will involve gender mainstreaming opportunities in the establishment of MRV, where users will be trained on data collection and analysis; training and awareness-raising for commercial banks on performing due diligence for small-scale RES projects, and development of technology database and a mechanism for continuous update and systematic enforcement. The project will involve an in-country gender expert in developing gender-disaggregated data and indicators to ensure equitable gender representation. |
| ***Briefly describe in the space below how the Project mainstreams environmental sustainability*** |
| Mainstreaming environmental sustainability in the project involves the following: (i) establishment of a measurement, reporting and verification system to promote investment in RES in urban and rural sector; (ii) development of policy and financial derisking instruments; (iii) creating awareness and training domestic commercial banks; and (iv) creating business models to rural and urban small-scale developers. The overall outcome of these interventions will be provision of clean and reliable energy supply and direct reductions in GHG emissions of 0.46 Mt of CO2eq. |

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

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| **QUESTION 2: What are the Potential Social and Environmental Risks?**  *Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.* | **QUESTION 3: What is the level of significance of the potential social and environmental risks?**  *Note: Respond to Questions 4 and 5 below before proceeding to Question 6* | | | | **QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?** | |
| ***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.*** | |
| Risk 1: The project may discriminate against women in relation to access to opportunities and benefits | I = 3  P = 1 | **Low** | Kazakhstan’s society is still strongly influenced by traditional gender roles and norms that designate women responsible for maintaining the home and childcare. Women are not regarded as decision-makers in the public sphere, and such traditional views lead women to accept discrimination as a “normal” part of life. | | * The project will analyse any gender-based differences in access to financing and capacity building, and will involve an in-country gender expert in developing gender-disaggregated data and indicators to ensure an equitable gender representation in the selection process for financing, focus group discussions and training. * Capacity building opportunities incorporated in the project that will ensure female participation include: establishment of RES technology MRV where users will be trained on data collection and analysis; training and awareness-raising for commercial banks; etc**.** | |
| Risk 2: Small-scale RES installations may pose safety risks to communities. | I = 3  P = 1 | **Low** | Workers may not have the right experience and training on proper installation and management of RES facilities. | | * Only legally registered contractor(s) will be allowed to do installation. Proof of experience and track record will be required from the contractor(s) prior to award of the retrofit work. * Small-scale RES developers/owners will be encouraged to conduct orientation and training. * The technologies selected: solar hot water heating, small PV systems and hybrid solar /wind have low associated environmental risks | |
| Risk 3: Potential for excluding affected stakeholders from participation | I = 2  P = 1 | **Low** | Inadequate and/or lack of consultation may exclude stakeholders such as women’s committees, citizens’ organisations and NGOs in providing inputs on to development of policy and financial derisking tools. | | Consultations have been undertaken during project identification to determine the project stakeholders and their roles during project implementation. These consultations will continue throughout the project cycle. Consultations on various components of the project will be designed to be gender-sensitive, inclusive and responsive to the needs of the stakeholders identified. A mechanism to deal with potential conflict issues during implementation has been incorporated in the project design. | |
| Risk 4: Vulnerability to climate change | I = 2  P = 1 | **Low** | An increases in temperature will reduce demand for heating but increase demand for cooling. Since cooling usually electrical and electricity is more costly than natural gas, this may increase demand for retrofits. | | * While average winter temperatures are projected to increase, since the 1961-1990 average winter temperature was -5.3°C, even with a significant increase in temperature there will still be a large need for heating. * Data from the MRV component will provide insight into the impacts of warmer weather. This will be valuable for future activities but overall impacts on borrowing are beyond the scope of this project. | |
| Risk 5: Generation of waste from RES installations | I = 3  P = 1 | **Low** | Removing roof elements and replacing existing hot water pipes, as part of retrofit works will generate waste. | | Recipients of financing for RES will be required to dispose of the waste generated from civil works following the applicable regulations. Management of waste/construction debris will be part of the conditions in granting the funds and for awarding the civil works to the contractor. This will be ensured through the eligibility criteria and environmental / social safeguards built into the financial mechanism and monitored through activities 3.2.4 and 3.2.6 | |
|  | **QUESTION 4: What is the overall Project risk categorization?** | | | | | |
| **Select one (see** [**SESP**](http://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-screening-procedure.html) **for guidance)** | | | | | **Comments** |
| ***Low Risk*** | | | **x** | | Eliminating policy, financial, market and technical barriers, and creating an enabling environment for investments in renewable energy, include activities that have no risks of adverse social or environmental impacts. However, actual renewable energy projects may cause impacts such as the generation of waste, noise and visual pollution, potential discrimination of women to access financing, etc. that are limited in scale and temporary. |
| ***Moderate Risk*** | | | **☐** | |  |
| ***High Risk*** | | | **☐** | |  |
|  | **QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?** | | | | |  |
| Check all that apply | | | | | **Comments** |
| ***Principle 1: Human Rights*** | | | **x** | | Executing Agency may not have the capacity to meet human rights obligations to the project |
| ***Principle 2: Gender Equality and Women’s Empowerment*** | | | **x** | | Potential to discriminate women in consultations and in access to project benefits and opportunities |
| ***1. Biodiversity Conservation and Natural Resource Management*** | | | **☐** | |  |
| ***2. Climate Change Mitigation and Adaptation*** | | | **☐** | |  |
| ***3. Community Health, Safety and Working Conditions*** | | | **☐** | |  |
| ***4. Cultural Heritage*** | | | **☐** | |  |
| ***5. Displacement and Resettlement*** | | | **☐** | |  |
| ***6. Indigenous Peoples*** | | | **☐** | |  |
| ***7. Pollution Prevention and Resource Efficiency*** | | | **☐** | |  |

**Final Sign Off**

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

**Social and Environmental Risk Screening Checklist**

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| **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? [[1]](#footnote-1) | 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? | Yes |
| 5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project? | Yes[[2]](#footnote-2)\* |
| 6. Is there a risk that rights-holders do not have the capacity to claim their rights? | Yes |
| 7. Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process? | Yes |
| 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? | Yes |
| 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:** Screeningquestions regarding environmental risks are encompassed by the specific Standard-related questions below |  |
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| **Standard 1: Biodiversity Conservation and Sustainable** [**Natural**](file:///C:/Users/Ainur/AppData/Local/Microsoft/Windows/INetCache/Content.Outlook/FSIOGDND/UNDP%20DREI%20Project%20Document%20v0-9-8-6%20-%20TRACKING.docx#SustNatResManGlossary) **Resource Management** |  |
| 1.1 Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? *For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes* | No |
| 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.* | Yes |
| **Standard 2: Climate Change Mitigation and Adaptation** |  |
| 2.1 Will the proposed Project result in significant[[3]](#footnote-3) 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? | Yes |
| 2.3 Is the proposed Project likely to directly or indirectly increase social and environmental [vulnerability to climate change](file:///C:/Users/Ainur/AppData/Local/Microsoft/Windows/INetCache/Content.Outlook/FSIOGDND/UNDP%20DREI%20Project%20Document%20v0-9-8-6%20-%20TRACKING.docx#CCVulnerabilityGlossary) 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? | n/a |
| 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 or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)? | n/a |
| 3.3 Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)? | n/a |
| 3.4 Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure) | n/a |
| 3.5 Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions? | n/a |
| 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?[[4]](#footnote-4) | 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)?  *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.* | No |
| 6.4 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? | No |
| 6.5 Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples? | No |
| 6.6 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? | No |
| 6.7 Would the Project adversely affect the development priorities of indigenous peoples as defined by them? | No |
| 6.8 Would the Project potentially affect the physical and cultural survival of indigenous peoples? | No |
| 6.9 Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? | No |
| **Standard 7: Pollution Prevention and Resource Efficiency** |  |
| 7.1 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](file:///C:/Users/Ainur/AppData/Local/Microsoft/Windows/INetCache/Content.Outlook/FSIOGDND/UNDP%20DREI%20Project%20Document%20v0-9-8-6%20-%20TRACKING.docx#TransboundaryImpactsGlossary)? | No |
| 7.2 Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)? | No |
| 7.3 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* | No |
| 7.4 Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health? | No |
| 7.5 Does the Project include activities that require significant consumption of raw materials, energy, and/or water? | No |

1. Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to “women and men” or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals. [↑](#footnote-ref-1)
2. \*Social and Environmental Standards effective on 1 January 2015 provide guidance on setting-up project-level grievance redress mechanism (see Stakeholder Engagement and Response Mechanisms, paragraphs 12-20, and Monitoring, Reporting and Compliance, paragraphs 22-27.). Quality assurance procedures undertaken as part of the standard project implementation (i.e. regular UNDP monitoring, annual meetings, and independent monitoring) would also provide an opportunity to address grievances. [↑](#footnote-ref-2)
3. 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.] [↑](#footnote-ref-3)
4. 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. [↑](#footnote-ref-4)