

Annex [#]. 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	“Assistance in enhancement of Kazakhstani Nationally Determined Contribution”
2. Project Number	00117909
3. Location (Global/Region/Country)	Kazakhstan

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

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

The project was developed in full compliance with the human rights-based approach, which is one of the main approaches used to improve the system of inventory and monitoring of greenhouse gases in Kazakhstan in order to support climate change activities. Due to close and broad cooperation, the implementation of a current MRV system will ensure that GHG inventory and monitoring are as accurate as possible. Adding adaptation issues to the NDC will have a positive impact on socially vulnerable population, enhancing resilience to the adverse effects of climate change. Awareness about climate change helps to raise the level of general culture among the population. All components of the project are subject to implementation of UNDP social and environmental screening protection mechanism.

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

The project's goals include creating legislative and institutional levers for further development and improvement of the greenhouse gas inventory and monitoring system and further promoting the creation of a greenhouse gas compensation system in addition to the existing emissions trading system in Kazakhstan. In this context, gender equality is defined as equal access of men and women to decision-making, which in turn creates favorable conditions for active participation of men and women in environmental activities. These key conditions for improving gender equality will be reflected in all Project activities and presented in documents (analyses, reports, plans).

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

The project addresses three main issues related to inventory and monitoring of greenhouse gas sinks and emissions in Kazakhstan, adaptation measures, and awareness of climate change. In addressing these three issues, the Project will contribute to environmental benefits at both the global and country levels.

In order to ensure environmental sustainability, the Project will work on improving the MRV in the GHG accounting system, adaptation issues and measures in the NDC and increasing public awareness of climate change.

Part B. Identifying and Managing Social and Environmental Risks

<p>QUESTION 2: What are the Potential Social and Environmental Risks? <i>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.</i></p>	<p>QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i></p>			<p>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)?</p>
<p>Risk Description</p>	<p>Impact and Probability (1-5)</p>	<p>Significance (Low, Modera</p>	<p>Comments</p>	<p>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment</p>

		<i>te, High)</i>		<i>should consider all potential impacts and risks.</i>
<p>Risk 1: Human Rights Potential that the project may:</p> <ul style="list-style-type: none"> – Lead to adverse consequences in the use of human rights (civil, political, economic, social or cultural) for the affected population and, in particular, socially isolated groups – Have a negative impact in the form of inequality or discrimination against the affected population, in particular those living below the poverty line, socially isolated, or socially vulnerable individuals or groups – Limit the availability, quality or access to resources of basic services, 	<p>I = 2 P = 1</p>	<p>Low</p>	<p>Risk is assessed based on the situation and context of the project. Despite the presence of risks, the combination of influence and probability of risk is assessed as low. Possible reduction in power generation or industrial production due to temporary or complete closures, and related layoffs and reduced economic activity. However, the more realistic picture is that some of the polluters will have to implement measures to reduce emissions instead of</p>	<p>Not applicable for projects with low risk</p>

in particular for socially isolated individuals or groups.			closing or stopping production.	
<p>Risk 2 Gender and Women Empowerment</p> <p>Potential that the project may:</p> <ul style="list-style-type: none"> – Limit women's ability to use, develop and protect natural resources, taking into account the different roles and positions of women and men in evaluating environmental goods and services. 	I = 1 P = 1	Low	The impact on women and the socially vulnerable population is indirect and associated with lowering of incomes due to shutdown of some enterprises.	Not applicable for projects with low risk
<p>Risk 3: Biodiversity Conservation and Sustainable Natural Resource Management</p> <p>Potential that the project may:</p> <ul style="list-style-type: none"> – Involve changes in the use of land and resources that may have adverse effects on 	I = 2 P = 2	Low	The main goal of the project is to provide more accurate and actual measurement of greenhouse gas emissions, create a framework for developing a portfolio of adaptation projects and disseminate	Not applicable for projects with low risk

<p>habitats, ecosystems and / or livelihoods</p>			<p>information about climate change more widely among the population. Therefore, the probability of these risks is insignificant. However, this risk will be constantly monitored throughout all stages of the project implementation through standard risk control and monitoring systems.</p>	
<p>Risk 4: Displacement and Resettlement</p> <p>Potential that the project may:</p> <ul style="list-style-type: none"> – Lead to economic displacement (for example, loss of assets or access to resources due to land acquisition, restriction of 	<p>I = 2 P = 2</p>	<p>Low</p>	<p>The risk is based on the likelihood that vulnerable segments of the population will express a desire to leave unfavorable places of residence as a result of their increasing awareness</p>	<p>Not applicable for projects with low risk</p>

access-even in the absence of physical displacement)				
[add additional rows as needed]				
	QUESTION 4: What is the overall Project risk categorization?			
	Select one (see SESP for guidance)			Comments
	<i>Low Risk</i>	<input checked="" type="checkbox"/>	All three components of the project have no direct impact. Successful implementation of the first and second components may lead to some changes with potential, although limited, negative consequences in the long term, significantly exceeding the project's validity period	
	<i>Moderate Risk</i>	<input type="checkbox"/>		
	<i>High Risk</i>	<input type="checkbox"/>		
	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?			
	Check all that apply			Comments
	<i>Principle 1: Human Rights</i>	<input type="checkbox"/>	Not applicable for projects with low risk	

	<i>Principle 2: Gender Equality and Women's Empowerment</i>	<input type="checkbox"/>	Not applicable for projects with low risk
	<i>1. Biodiversity Conservation and Natural Resource Management</i>	<input type="checkbox"/>	Not applicable for projects with low risk
	<i>2. Climate Change Mitigation and Adaptation</i>	<input type="checkbox"/>	Not applicable for projects with low risk
	<i>3. Community Health, Safety and Working Conditions</i>	<input type="checkbox"/>	Not applicable for projects with low risk
	<i>4. Cultural Heritage</i>	<input type="checkbox"/>	Not applicable for projects with low risk
	<i>5. Displacement and Resettlement</i>	<input type="checkbox"/>	Not applicable for projects with low risk
	<i>6. Indigenous Peoples</i>	<input type="checkbox"/>	Not applicable for projects with low risk
	<i>7. Pollution Prevention and Resource Efficiency</i>	<input type="checkbox"/>	Not applicable for projects with low risk

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? 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?	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

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.

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? <i>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</i>	Yes
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 ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	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? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	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? <i>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</i>	No

<i>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.</i>	
Standard 2: Climate Change Mitigation and Adaptation	
2.1 Will the proposed Project result in significant ² 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)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	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 or dangerous 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
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 earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	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.]

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? ³	No

³ 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.

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	<p>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)?</p> <p><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></p>	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?	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? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	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