

## ANNEX 2. SOCIAL AND ENVIRONMENTAL SCREENING TEMPLATE (2021 SESP TEMPLATE, VERSION 1)

*The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document at the design stage. Note: this template will be converted into an online tool. The online version will guide users through the process and will embed relevant guidance.*

### Project Information

<b>Project Information</b>	
1. Project Title	CREATING CONDITIONS FOR THE ATTRACTION OF INVESTORS IN ENERGY EFFICIENCY IN KAZAKHSTAN
2. Project Number (i.e. Atlas project ID, PIMS+)	
3. Location (Global/Region/Country)	Kazakhstan
4. Project stage (Design or Implementation)	Design
5. Date	March 2021

### Part A. Integrating Programming Principles to Strengthen Social and Environmental Sustainability

<b>QUESTION 1: How Does the Project Integrate the Programming Principles in Order to Strengthen Social and Environmental Sustainability?</b>
<b><i>Briefly describe in the space below how the project mainstreams the human rights-based approach</i></b>
The project seeks to support small and medium enterprises in gaining access to financing for energy efficiency. All aspects of the project are consistent with ensuring fulfillment of the obligations of duty-bearers and advancement of the interests of rights-holders, including minorities, women, and economically vulnerable groups.
<b><i>Briefly describe in the space below how the project is likely to improve gender equality and women's empowerment</i></b>
The project, in defining eligibility criteria for guaranteed loans, will take note of ownership of firms by women, as well as women employees. It will specifically emphasize engagement of women via promotional efforts for the loan guarantees, as well as via training for financial and business stakeholders. The project will report on relevant gender-related indicators in its monitoring and evaluation.
<b><i>Briefly describe in the space below how the project mainstreams sustainability and resilience</i></b>
The core focus of the project is expansion of activity in energy efficiency, which in turn directly advances environmental sustainability (via greenhouse gas emissions reductions, as well as reduction of local pollution) and resilience (via resource conservation, enhanced building performance even under temperature extremes, and so on).
<b><i>Briefly describe in the space below how the project strengthens accountability to stakeholders</i></b>

The project has been designed based on active engagement of numerous diverse stakeholders, including small businesses, commercial banks, IFIs, microfinance institutions, and government agencies. The project will continue to engage all these stakeholders and will take their feedback into account in compiling lessons learned and enhancing services provided by the project, particularly as the project moves from its pilot phase to its later phases.

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

<b>QUESTION 2: What are the Potential Social and Environmental Risks?</b> <i>Note: Complete SESP Attachment 1 before responding to Question 2.</i>	<b>QUESTION 3: What is the level of significance of the potential social and environmental risks?</b> <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 5</i>			<b>QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High</b>
<b>Risk Description</b> <i>(broken down by event, cause, impact)</i>	<b>Impact and Likelihood (1-5)</b>	<b>Significance (Low, Moderate, Substantial, High)</b>	<b>Comments (optional)</b>	<b>Description of assessment and management measures for risks rated as Moderate, Substantial or High</b>
Risk 1 (Standard 3, Risk 3.1): The Project will lead to some construction and renovation of buildings, as well as possible modifications to infrastructure such as district heating networks and facilities, as well as street lighting	I = 1 L = 3	<b>Low</b>	The Project will require that all applicants seeking support from the Project demonstrate that their projects comply with all applicable health, safety, and occupational safety laws. It is expected that this risk will be minimal or negligible in almost all cases, as the construction/renovation activity will involve well-understood equipment and technology, without	

			hazardous materials or working conditions.	
Risk 2 (Standard 8, Risk 8.2): The Project may lead to installation of new equipment that would involve the removal of old equipment and materials, which would then need to be treated as waste.	I = 1 L = 2	<b>Low</b>		
<b>QUESTION 4: What is the overall project risk categorization?</b>				
		<b>Low Risk</b>	<input checked="" type="checkbox"/>	
		<b>Moderate Risk</b>	<input type="checkbox"/>	
		<b>Substantial Risk</b>	<input type="checkbox"/>	
		<b>High Risk</b>	<input type="checkbox"/>	
<b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? (check all that apply)</b>				
Question only required for Moderate, Substantial and High Risk projects				
<b><u>Is assessment required? (check if “yes”)</u></b>		<input type="checkbox"/>		<b>Status? (complete, planned)</b>
<i>if yes, indicate overall type and status</i>		<input type="checkbox"/>	Targeted assessment(s)	
		<input type="checkbox"/>	ESIA (Environmental and Social Impact Assessment)	
		<input type="checkbox"/>	SESA (Strategic Environmental and Social Assessment)	
<b><i>Are management plans required? (check if “yes”)</i></b>		<input type="checkbox"/>		
<i>If yes, indicate overall type</i>		<input type="checkbox"/>	Targeted management plans (e.g. Gender Action Plan, Emergency Response)	

			Plan, Waste Management Plan, others)	
		<input type="checkbox"/>	ESMP (Environmental and Social Management Plan which may include range of targeted plans)	
		<input type="checkbox"/>	ESMF (Environmental and Social Management Framework)	
	<b>Based on identified <u>risks</u>, which Principles/Project-level Standards triggered?</b>		<b>Comments (not required)</b>	
	<b>Overarching Principle: Leave No One Behind</b>			
	<b>Human Rights</b>	<input type="checkbox"/>		
	<b>Gender Equality and Women's Empowerment</b>	<input type="checkbox"/>		
	<b>Accountability</b>	<input type="checkbox"/>		
	<b>1. Biodiversity Conservation and Sustainable Natural Resource Management</b>	<input type="checkbox"/>		
	<b>2. Climate Change and Disaster Risks</b>	<input type="checkbox"/>		
	<b>3. Community Health, Safety and Security</b>	<input type="checkbox"/>		
	<b>4. Cultural Heritage</b>	<input type="checkbox"/>		
	<b>5. Displacement and Resettlement</b>	<input type="checkbox"/>		
	<b>6. Indigenous Peoples</b>	<input type="checkbox"/>		
<b>7. Labour and Working Conditions</b>	<input type="checkbox"/>			
<b>8. Pollution Prevention and Resource Efficiency</b>	<input type="checkbox"/>			

### Final Sign Off

*Final Screening at the design-stage is not complete until the following signatures are included*

<b><i>Signature</i></b>	<b><i>Date</i></b>	<b><i>Description</i></b>
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.

## SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks	
<b>INSTRUCTIONS:</b> The risk screening checklist will assist in answering Questions 2-6 of the Screening Template. Answers to the checklist questions help to (1) identify potential risks, (2) determine the overall risk categorization of the Project, and (3) determine required level of assessment and management measures. Refer to the <u>SES toolkit</u> for further guidance on addressing screening questions.	
<b>Overarching Principle: Leave No One Behind</b> <b>Human Rights</b>	<b>Answer (Yes/No)</b>
P.1 Have local communities or individuals raised human rights concerns regarding the Project (e.g. during the stakeholder engagement process, grievance processes, public statements)?	No
P.2 Is there a risk that duty-bearers (e.g. government agencies) do not have the capacity to meet their obligations in the Project?	No
P.3 Is there a risk that rights-holders (e.g. Project-affected persons) do not have the capacity to claim their rights?	No
<i>Would the Project potentially involve or lead to:</i>	
P.4 adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
P.5 inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities? <sup>1</sup>	No
P.6 restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups, including persons with disabilities?	No
P.7 exacerbation of conflicts among and/or the risk of violence to Project-affected communities and individuals?	No
<b>Gender Equality and Women's Empowerment</b>	
P.8 Have women's groups/leaders raised gender equality concerns regarding the Project, (e.g. during the stakeholder engagement process, grievance processes, public statements)?	No
<i>Would the Project potentially involve or lead to:</i>	
P.9 adverse impacts on gender equality and/or the situation of women and girls?	No

<sup>1</sup> Prohibited grounds of discrimination include race, ethnicity, sex, age, language, disability, sexual orientation, gender identity, 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 and transsexual people.

P.10 reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
P.11 limitations on 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>	No
P.12 exacerbation of risks of gender-based violence? <i>For example, through the influx of workers to a community, changes in community and household power dynamics, increased exposure to unsafe public places and/or transport, etc.</i>	No
<b>Sustainability and Resilience:</b> Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below	
<b>Accountability</b>	
<i>Would the Project potentially involve or lead to:</i>	
P.13 exclusion of any potentially affected stakeholders, in particular marginalized groups and excluded individuals (including persons with disabilities), from fully participating in decisions that may affect them?	No
P.14 grievances or objections from potentially affected stakeholders?	No
P.15 risks of retaliation or reprisals against stakeholders who express concerns or grievances, or who seek to participate in or to obtain information on the Project?	No
<b>Project-Level Standards</b>	
<b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b>	
<i>Would the Project potentially involve or lead to:</i>	
1.1 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 activities within or adjacent to critical habitats and/or environmentally sensitive areas, including (but not limited to) 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 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 risks to endangered species (e.g. reduction, encroachment on habitat)?	No
1.5 exacerbation of illegal wildlife trade?	No
1.6 introduction of invasive alien species?	No
1.7 adverse impacts on soils?	No
1.8 harvesting of natural forests, plantation development, or reforestation?	No
1.9 significant agricultural production?	No
1.10 animal husbandry or harvesting of fish populations or other aquatic species?	No

1.11 significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.12 handling or utilization of genetically modified organisms/living modified organisms? <sup>2</sup>	No
1.13 utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) <sup>3</sup>	No
1.14 adverse transboundary or global environmental concerns?	No
<b>Standard 2: Climate Change and Disaster Risks</b>	
<i>Would the Project potentially involve or lead to:</i>	
2.1 areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?	No
2.2 outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters? <i>For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes</i>	No
2.3 increases in vulnerability to climate change impacts or disaster risks now or in the future (also known as maladaptive or negative coping 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
2.4 increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	No
<b>Standard 3: Community Health, Safety and Security</b>	
<i>Would the Project potentially involve or lead to:</i>	
3.1 construction and/or infrastructure development (e.g. roads, buildings, dams)?	Yes
3.2 air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation?	No
3.3 harm or losses due to failure of structural elements of the Project (e.g. collapse of buildings or infrastructure)?	No
3.4 risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health?	No
3.5 transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.6 adverse impacts on ecosystems and ecosystem services relevant to communities' health (e.g. food, surface water purification, natural buffers from flooding)?	No
3.7 influx of Project workers to Project areas?	No
3.8 engagement of security personnel to protect facilities and property or to support Project activities?	No

<sup>2</sup> See the [Convention on Biological Diversity](#) and its [Cartagena Protocol on Biosafety](#).

<sup>3</sup> See the [Convention on Biological Diversity](#) and its [Nagoya Protocol](#) on access and benefit sharing from use of genetic resources.



<b>Standard 4: Cultural Heritage</b>	
<i>Would the Project potentially involve or lead to:</i>	
4.1 activities adjacent to or within a Cultural Heritage site?	No
4.2 significant excavations, demolitions, movement of earth, flooding or other environmental changes?	No
4.3 adverse impacts to 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
4.4 alterations to landscapes and natural features with cultural significance?	No
4.5 utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes?	No
<b>Standard 5: Displacement and Resettlement</b>	
<i>Would the Project potentially involve or lead to:</i>	
5.1 temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)?	No
5.2 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 risk of forced evictions? <sup>4</sup>	No
5.4 impacts on or changes to land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
<b>Standard 6: Indigenous Peoples</b>	
<i>Would the Project potentially involve or lead to:</i>	
6.1 areas where indigenous peoples are present (including Project area of influence)?	No
6.2 activities located on lands and territories claimed by indigenous peoples?	No
6.3 impacts (positive or negative) to 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 screening question 6.3 is “yes”, then the potential risk impacts are considered significant and the Project would be categorized as either Substantial Risk or High Risk</i>	No
6.4 the absence of culturally appropriate consultations carried out with the objective of achieving FPIC <sup>5</sup> on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No

<sup>4</sup> Forced eviction is defined here as the permanent or temporary removal against their will of individuals, families or communities from the homes and/or land which they occupy, without the provision of, and access to, appropriate forms of legal or other protection. Forced evictions constitute gross violations of a range of internationally recognized human rights.

<sup>5</sup> FPIC means free, prior and informed consent

6.5	the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 5 above</i>	No
6.7	adverse impacts on the development priorities of indigenous peoples as defined by them?	No
6.8	risks to the physical and cultural survival of indigenous peoples?	No
6.9	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.</i>	No
<b>Standard 7: Labour and Working Conditions</b>		
<i>Would the Project potentially involve or lead to: (note: applies to Project and contractor workers)</i>		
7.1	working conditions that do not meet national labour laws and international commitments?	No
7.2	working conditions that may deny freedom of association and collective bargaining?	No
7.3	use of child labour?	No
7.4	use of forced labour?	No
7.5	discriminatory working conditions and/or lack of equal opportunity?	No
7.6	occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the Project life-cycle?	No
<b>Standard 8: Pollution Prevention and Resource Efficiency</b>		
<i>Would the Project potentially involve or lead to:</i>		
8.1	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
8.2	the generation of waste (both hazardous and non-hazardous)?	Yes
8.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	No
8.4	the 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 <u>Montreal Protocol</u>, <u>Minamata Convention</u>, <u>Basel Convention</u>, <u>Rotterdam Convention</u>, <u>Stockholm Convention</u></i>	No
8.5	the application of pesticides that may have a negative effect on the environment or human health?	No
8.6	significant consumption of raw materials, energy, and/or water?	No