

**Joint Crediting Mechanism Guidelines for Developing
Sustainable Development Implementation Plan and Report**

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1. Objectives

1. The Joint Crediting Mechanism (hereinafter referred to as “JCM”) aims to contribute to the sustainable development in the Republic of Kazakhstan through the implementation of JCM projects, and the “Joint Crediting Mechanism Guidelines for Developing Sustainable Development Implementation Plan and Report” (hereinafter referred to as “these Guidelines”) facilitates this objective.

2. Scope and applicability

2. These Guidelines are applicable to project participants, the Joint Committee and the secretariat with respect to evaluation of the contribution of JCM projects to the sustainable development in the Republic of Kazakhstan.
3. These guidelines are intended to assist project participants in developing JCM sustainable development implementation plan (hereinafter referred to as “SDIP”) and sustainable development implementation report (hereinafter referred to as “SDIR”).
4. These Guidelines describe standards which are requirements to be met, except guidance indicated with terms “should” and “may” as defined in paragraph 7 below.

3. Terms and definitions

5. “SDIP” is prepared by the project participant of a JCM project by filling in “JCM Sustainable Development Implementation Plan Form” (hereinafter referred to as “SDIP form”) and sets out in detail, in line with the JCM rules and guidelines, a plan of the JCM project to contribute to sustainable development.
6. “SDIR” is prepared by the project participant of a JCM project by filling in “JCM Sustainable Development Implementation Report Form” (hereinafter referred to as “SDIR form”) and sets out the result of SDIP implementation for a particular monitoring period.
7. The following terms apply in these Guidelines:
 - (a) “Should” is used to indicate that among several possibilities, one course of action is recommended as particularly suitable;
 - (b) “May” is used to indicate what is permitted.
8. Terms in these Guidelines are defined in “JCM Glossary of Terms” available on the JCM website.

4. General guidelines

9. When designing a proposed JCM project and developing an SDIP and an SDIR, project participants apply these Guidelines.
10. The project participants provide a comprehensive description of plan for contributions to sustainable development (hereinafter referred to as “SD”) through the proposed JCM project.
11. The project participants should conduct ex-ante analysis of the contribution to SD using the SDIP form and ex-post evaluation of the contribution to SD using the SDIR form.
12. These Guidelines, the SDIP form and the SDIR form can be obtained electronically from the JCM website.

13. The Joint Committee may revise the SDIP form and the SDIR form, if necessary.
14. The SDIP form and the SDIR form are completed in English language.
15. The presentation of values in the SDIP form or SDIR form, including those used for the calculation, where necessary, should be in international standard format e.g. 1,000 representing one thousand and 1.0 representing one. The units used should be accompanied by their equivalent S.I. units/norms (thousand/million) as part of the requirement to ensure transparency and clarity.
16. The SDIP form and the SDIR form are to be completed without its format, font and headings being altered.
17. Project participants are encouraged to refer to, as appropriate, the related local and/or national regulations and guidelines in their preparation of SDIP and SDIR.

5. Developing an SDIP and an SDIR

In the following section, a hypothetical project is described in red color as an example to show how to fill in the SDIP form and SDIR form.

5.1. Completing an SDIP form

<Example of a completed SDIP form>

A. Project description

A.1. Title of the JCM project

Energy Management System application for office buildings in the Republic of Kazakhstan

A.2. Contact information

Name of the focal point entity(ies):	ABC Buildings Holding Company Limited (Building 1, 2, 3)
Name of authorized signatory	
Last name:	First name:
Title:	

Please name the focal point entity of the proposed project.

B. Possible Contribution to Sustainable Development

B.1 Plan for possible contribution to SD

No.	Items	Questions	Yes/No	If the selected answer is “Yes” in the left-hand column, please describe the action plans in a blank cell in this column.
1	EIA	Does the proposed project require official/legal process of EIA?	No <input checked="" type="checkbox"/> Yes <input type="checkbox"/>	
2	Pollution Control (No answer is necessary if EIA is required)	Does the proposed project emit air pollutants?	No <input checked="" type="checkbox"/> Yes <input type="checkbox"/>	
3		Does the proposed project discharge water pollutants or substances which influence BOD, COD or pH, etc.?	No <input checked="" type="checkbox"/> Yes <input type="checkbox"/>	
4		Does the proposed project generate waste?	No <input type="checkbox"/> Yes <input checked="" type="checkbox"/>	A small amount of waste is expected during the set-up of equipment. However, generated waste will be treated in line with the company recycling plan for proper disposal.
5		Does the proposed project increase noise, vibration and/or odor beyond the levels required by laws or regulations?	No <input type="checkbox"/> Yes <input checked="" type="checkbox"/>	Certain noise increase is expected. However, proper noise control measure will be carried out.
6		Does the proposed project cause ground subsidence?	No <input checked="" type="checkbox"/> Yes <input type="checkbox"/>	
7		Safety and Health	Does the proposed project pose a dangerous condition for local communities as well as individuals involved in the project during either its construction or its operation?	No <input type="checkbox"/> Yes <input checked="" type="checkbox"/>
8	Natural Environment and Biodiversity	Is the proposed project site located in protected areas designated by national laws or international treaties and conventions?	No <input checked="" type="checkbox"/> Yes <input type="checkbox"/>	
9		Does the proposed project change land use of the community and protected habitats for endangered species designated by national laws or international treaties and conventions?	No <input checked="" type="checkbox"/> Yes <input type="checkbox"/>	
10		Does the proposed project introduce foreign species?	No <input checked="" type="checkbox"/> Yes <input type="checkbox"/>	
11		Does the proposed project involve construction	No <input checked="" type="checkbox"/>	

		activities considered to affect natural environment and biodiversity (e.g., noise, vibrations, turbid water, dust, exhaust gases, and wastes)?	Yes <input type="checkbox"/>	
12		Does the proposed project use surface water, ground water and/or deep ground water?	No <input checked="" type="checkbox"/> Yes <input type="checkbox"/>	
13	Economy	Does the proposed project have negative impact on local workforce capacity?	No <input checked="" type="checkbox"/> Yes <input type="checkbox"/>	
14		Does the proposed project have negative impact on local community's welfare?	No <input checked="" type="checkbox"/> Yes <input type="checkbox"/>	
15	Social and Local Community Participation	Please describe what best possible measures the project participants of the proposed project take to ensure human rights through the supply chain and the implementation of the proposed project, and demonstrate that there is no violation of human rights.	-	
16		Please describe, if possible, how the project participants of the proposed project respect, promote and consider their respective right to health, the rights of indigenous peoples, local communities, migrants, children, persons with disabilities and people in vulnerable situations and the right to development, as well as gender equality, empowerment of women and intergenerational equity.	-	
17		Does the proposed project cause any resettlement or other types of conflict?	No <input checked="" type="checkbox"/> Yes <input type="checkbox"/>	
18		Does the proposed project include activities to respond to, and follow up, comments and complaints that have been received from local communities, particularly from the public consultation?	No <input checked="" type="checkbox"/> Yes <input type="checkbox"/>	
19		Do the project participants comply any laws and/or ordinances associated with the working conditions of local communities which the project participants should observe in the project?	No <input checked="" type="checkbox"/> Yes <input type="checkbox"/>	

20	Technology	Does the proposed project include activities to build capacity of human resources through technology transfer and technical assistance?	No <input checked="" type="checkbox"/>	
			Yes <input type="checkbox"/>	

Where applicable, please identify the impact of a proposed project on its surroundings using the guiding questions. If the selected answer is “Yes”, describe in a blank cell in the rightmost column above a plan for contribution to sustainable development while ensuring compliance with national and local regulations. Please answer each question and select Yes or No (including “Not sure at the stage of submitting SDIP”) depending on the situation at the stage of submitting SDIP.

References

List the references used to support descriptions provided, if any.

5.2. Completing an SDIR form

<Example of a completed SDIR form>

A. Project description

A.1. Title of the JCM project

Energy Management System application for office buildings in the Republic of Kazakhstan

A.2. General information of project

Reference Number	KZ00X
Registration date	dd/mm/yyyy
Monitoring period	Start: dd/mm/yyyy, End: dd/mm/yyyy

B. Contribution to Sustainable Development

B.1 Check list for contribution to SD

No.	Items		Not identified	Identified	If “Identified” is checked in the box, please describe the corrective actions
1	EIA	Project is included in the EIA reporting to the Government of the Republic of Kazakhstan	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
2	Pollution Control	Occurrence of pollution in ambient air quality	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
3		Occurrence of pollution in water quality	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
4		Occurrence of waste generation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
5		Occurrence of noise and/or vibration	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6		Occurrence of ground subsidence	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
7		Occurrence of ambient odor	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
8	Safety and health	Occurrence of accident or occupational accident	<input type="checkbox"/>	<input checked="" type="checkbox"/>	An accident occurred. But its damage was compensated, and the safety measures were revised for local communities as well as individuals involved in the project.
9	Natural Environment and biodiversity	Change of protected area condition	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
10		Change of land use change and ecosystem condition	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
11		Introduction of foreign species	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
12		Environmental impact during construction	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
13		Use of surface water, ground water and/or deep ground water	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
14	Economy	Decrease in local workforce capacity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
15		Declination of local community welfare	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
16	Social and Local Community Participation	Violation of human rights through the supply chain and implementation of the project	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
17		Problems related to the right to health, the rights of indigenous peoples, local communities, migrants, children, persons with disabilities and people in vulnerable situations and the right to development, as well as gender equality, empowerment of women and intergenerational equity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
18		Occurrence of resettlement or conflict	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
19		Failure to follow up comments and complaints successfully	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
20		Violation of regulatory working condition	<input checked="" type="checkbox"/>	<input type="checkbox"/>	

21	Technology	Failure to build human and institutional capacity by technology transfer	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
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Please check each box, either in “Not Identified” or “Identified” depending on the kind of impact through the implementation of the project in line with each identified item. Where “Identified” box is checked, project participants are requested to describe the corrective actions on each “Identified” impact.

B.2 Please describe the contribution of the JCM project to the sustainable development in the Republic of Kazakhstan below: