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| --- | --- |
| Project/Programme Title: | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Country(ies): | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| National Designated Authority(ies) (NDA): | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Executing Entities:  Accredited Entity(ies) (AE): | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Date of first submission/ version number: | *[YYYY-MM-DD] [V.0]* |
| Date of current submission/ version number | *[YYYY-MM-DD] [V.0]* |
|  | |

*Eligibility for SAP is determined by the review of the concept note and the ESS screening.*

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| 1. **Project / Programme Information (max. 1 page)** | | | | | |
| **A.1. Project or programme** | Project  Programme | **A.2. Public or private sector** | Public sector  Private sector | **A.3 RFP** | Select |
| **A.4. Indicate the result areas for the project/programme** | *Check the applicable* [*GCF result area(s)*](https://www.greenclimate.fund/documents/20182/239759/5.2_-_Results_Management_Framework__RMF_.pdf/a0558a59-ef20-4ba8-b90b-8d3ae0c8458f) *that the proposed project/programme targets. Indicate for each checked result area(s) the estimated percentage of GCF budget devoted to it. The summed up percentage should be equal to 100%.*  Mitigation: Reduced emissions from:  Energy access and power generation: Enter number %  Low emission transport: Enter number %  Buildings, cities and industries and appliances: Enter number %  Forestry and land use: Enter number %  Adaptation: Increased resilience of:  Most vulnerable people and communities: Enter number %  Health and well-being, and food and water security: Enter number %  Infrastructure and built environment: Enter number %  Ecosystem and ecosystem services: Enter number % | | | | |
| **A.5. Impact potential** | A.5.1. Estimated mitigation impact (tCO2eq over project lifespan) | | Enter number tCO2eq | | |
| A.5.2. Estimated adaptation impact (number of direct beneficiaries) | | Enter numberdirect beneficiaries | | |
| A.5.3. Estimated adaptation impact (number of indirect beneficiaries) | | Enter numberindirect beneficiaries | | |
| A.5.4. Estimated adaptation impact (% of total population) | | Enter number% of the country’s total population | | |
| **A.6. Financing information** | | | | | |
| A. 6.1. Indicative GCF funding requested (max 10M) | Amount: Enter amount Currency: Select currency Financial Instrument: Choose an item  *\* Please expand the information if needed.* | | | | |
| A.6.2. Indicative co-financing | Amount: Enter amount Currency: Select currency Financial Instrument: Choose an item  (If other financial instrument is opted, please specify: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_)  *\* Please expand the information if needed.* | | | | |
| A.6.3. Indicative total project cost (GCF + co-finance) | Amount: Enter amount Currency: Select currency | | | | |
| **A.7. Estimated duration of project/ programme:** | a) disbursement period:  b) repayment period, if applicable: | **A.7.2. Estimated project/ Programme lifespan** | | *This refers to the total period over which the investment is effective.* | |
| **A.8. Is funding from the Project Preparation Facility needed?** | Yes  No | **A.9. Is the Environmental and Social Safeguards Category C or I-3?** | | Yes  No | |
| **A.10. Provide rationale for the ESS categorization (100 words)** |  | | | | |
| **A.11. Has the CN been shared with the NDA?** | Yes  No | **A.12. Confidentiality[[1]](#footnote-2)** | | Confidential  Not confidential | |
| **A.13. Project/Programme rationale, objectives and approach of programme/project (max 100 words)** | *Brief summary of the problem statement and climate rationale, objective and selected implementation approach, including the executing entity(ies) and other implementing partners, including who will be implementing the measures to manage the environmental and social risks.* | | | | |
| 1. **Project / Programme details** | | | | | |
| **B.1. Context and Baseline (500 words)** | | | | | |  |
| *Describe as relevant the climate vulnerabilities and impacts, GHG emissions profile, and mitigation and adaptation needs that the prospective intervention is envisaged to address.*  *Please indicate how the project fits in with the country’s national priorities, action plans and programs and its full ownership of the concept.*  *Describe the main root causes and barriers (social, gender, fiscal, regulatory, technological, financial, ecological, institutional, etc.) that need to be addressed. Where relevant, please describe the key characteristics and dynamics of the sector or market.* | | | | | |
| **B.2. Project / Programme description (1000 words)** | | | | | |
| *Describe the expected set of components and activities to address the above barriers identified that will lead to the expected outcomes.*  *Please explain why this project or programme is ready for scaling up and has the potential for transformation. Has it been piloted in the country or region? Are the proposed interventions well documented for their costs and benefits?*  *Describe in what way the Accredited Entity(ies) is well placed to undertake the planned activities and what the implementation arrangements with the executing entity(ies) and implementing partners will be.*  *Please provide a brief overview of the key financial and operational risks and any mitigation measures identified.*  *Please explain how the M&E will be conducted as part of the project or programme (routine and concurrent monitoring, interim and final evaluations, and annual reports)* | | | | | |
| **B.3. Expected project results aligned with the GCF investment criteria (500 words)[[2]](#footnote-3)** | | | | | |
| *Please describe and provide an estimate of the expected impacts aligned with the GCF investment criteria: impact potential, paradigm shift, sustainable development, needs of recipients, country ownership, and efficiency and effectiveness.* | | | | | |
| 1. **Indicative financing / Cost information (max. 2 pages)** | | | | | |
| **C.1. Financing by components** | | | | | |
| *Please provide an estimate of the total cost per component and disaggregate by source of financing.*   |  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | --- | | **Component** | **Output** | **Indicative cost**  **(USD)** | **GCF financing** | | **Co-financing** | | | | | **Amount**  **(USD)** | **Financial Instrument** | **Type** | **Amount**  **(USD)** | **Financial Instrument** | **Name of Institutions** | | Click here to enter text. | Click here to enter text. | Enter amount | Enter amount | Choose an item. | Choose an item. | Enter amount | Choose an item. | Click here to enter text. | | Click here to enter text. | Click here to enter text. | Enter amount | Enter amount | Choose an item. | Choose an item. | Enter amount | Choose an item. | Click here to enter text. | | Click here to enter text. | Click here to enter text. | Enter amount | Enter amount | Choose an item. | Choose an item. | Enter amount | Choose an item. | Click here to enter text. | | Click here to enter text. | Click here to enter text. | Enter amount | Enter amount | Choose an item. | Choose an item. | Enter amount | Choose an item. | Click here to enter text. | | **Indicative total cost** **(USD)** | | Enter amount | Enter amount | | Enter amount | | | |   *For private sector proposal, provide an overview (diagram) of the proposed financing structure.* | | | | | |
| **C.2. Justification of GCF Funding Request (300 words)** | | | | | |
| *Explain why the Project/ Programme requires GCF funding, i.e. explaining why this is not financed by the public*  *and/ or private sector(s) of the country.* | | | | | |
| **C.3. Exit Strategy and Sustainability (300 words)** | | | | | |
| *Please explain how the project/programme sustainability will be ensured in the long run and how this will be monitored, after the project/programme is implemented with support from the GCF and other sources.*  *For non-grant instruments, explain how the capital invested will be repaid and over what duration of time.* | | | | | |
| **C.4 Stakeholders engagement in the project or programme (300 words)** | | | | | |
| *Please describe how engagement among the NDA, AE, EE and/or other relevant stakeholders in the country has taken place so far and what further engagement will be undertaken as the concept is developed into a funding proposal.* | | | | | |
| 1. **Annexes** | | | | | |
| ESS screening check list (Annex 1)  Map indicating the location of the project/programme (as applicable)  Evaluation Report of previous project (as applicable) | | | | | |

**Annex 1: Environmental and Social Screening Checklist[[3]](#footnote-4)**

**Part A: Risk Factors**

Please indicate your answers to the questions below and provide an explanation on the response selected. In cases when the TBD response has been selected please explain briefly why you are not able to determine now and when in the project cycle the question will be addressed.

If the criteria is not applicable to the project you may write N/A in the justification box.

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| **Risk Factors** | **YES** | **NO** |
| Will the activities involve associated facilities and require further due diligence of such associated facilities? |  |  |
| *Please provide a justification of your answer:* | | |
| Will the activities involve trans-boundary impacts including those that would require further due diligence and notification to affected states? |  |  |
| *Please provide a justification of your answer:* | | |
| Will the activities adversely affect working conditions and health and safety of workers or potentially employ vulnerable categories of workers including women and children? |  |  |
| *Please provide a justification of your answer:* | | |
| Will the activities potentially generate hazardous waste and pollutants including pesticides and contaminate lands that would require further studies on management, minimization and control and compliance to the country and applicable international environmental quality standards? |  |  |
| *Please provide a justification of your answer:* | | |
| Will the activities involve the construction, maintenance, and rehabilitation of critical infrastructure (like dams, water impoundments, coastal and river bank infrastructure) that would require further technical assessment and safety studies? |  |  |
| *Please provide a justification of your answer:* | | |
| Will the proposed activities potentially involve resettlement and dispossession, land acquisition, and economic displacement of persons and communities? |  |  |
| *Please provide a justification of your answer:* | | |
| Will the activities be located in or in the vicinity of protected areas and areas of ecological significance including critical habitats, key biodiversity areas and internationally recognized conservation sites? |  |  |
| *Please provide a justification of your answer:* | | |
| Will the activities affect indigenous peoples that would require further due diligence, free, prior and informed consent (FPIC) and documentation of development plans? |  |  |
| *Please provide a justification of your answer:* | | |
| Will the activities be located in areas that are considered to have archaeological (prehistoric), paleontological, historical, cultural, artistic, and religious values or contains features considered as critical cultural heritage? |  |  |
| *Please provide a justification of your answer:* |  |  |

**Part B: Specific environmental and social risks and impacts**

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| --- | --- | --- | --- | --- |
| **Assessment and Management of Environmental and Social Risks and Impacts** | **YES** | **NO** | | **TBD** |
| Has the E&S risk category of the project been provided in the concept note? |  |  | |  |
| Has the rationale for the categorization of the project been provided in the relevant sections of the concept note? |  |  | |  |
| Are there any additional environmental, health and safety requirements under the national laws and regulations and relevant international treaties and agreements? |  |  | |  |
| *Please provide a justification of your answer:* | | | | |
| Are the identification of risks and impacts based on recent or up-to-date information? |  |  | |  |
| *Please provide a justification of your answer:* | | | | |
| **Labour and Working Conditions** | **YES** | **NO** | **TBD** | |
| Will the activities potentially have impacts on the working conditions, particularly the terms of employment, worker’s organization, non-discrimination, equal opportunity, child labour, and forced labour of direct, contracted and third-party workers? |  |  |  | |
| *Please provide a justification of your answer:* | | | | |
| Will the activities pose occupational health and safety risks to workers including supply chain workers? |  |  |  | |
| *Please provide a justification of your answer:* | | | | |
| **Resource Efficiency and Pollution Prevention** | **YES** | **NO** | **TBD** | |
| Will the activities generate (1) emissions to air; (2) discharges to water; (3) activity-related greenhouse gas (GHG) emissions, (4) noise and vibration; and (5) wastes? |  |  |  | |
| *Please provide a justification of your answer:* | | | | |
| Will the activities utilize significant amount of natural resources including water and energy? |  |  |  | |
| *Please provide a justification of your answer:* | | | | |
| Will there be a need to develop detailed measures to reduce pollution and promote sustainable use of resources? |  |  |  | |
| *Please provide a justification of your answer:* | | | | |
| **Community Health, Safety, and Security** | **YES** | **NO** | **TBD** | |
| Will the activities potentially generate risks and impacts to the health and safety of the affected communities? |  |  |  | |
| *Please provide a justification of your answer:* | | | | |
| Will there be a need for an emergency preparedness and response plan that also outlines how the affected communities will be assisted in times of emergency? |  |  |  | |
| *Please provide a justification of your answer:* | | | | |
| Will there be risks posed by the security arrangements and potential conflicts at the project site to the workers and affected community? |  |  |  | |
| *Please provide a justification of your answer:* | | | | |
| **Land Acquisition and Involuntary Resettlement** | **YES** | **NO** | **TBD** | |
| Will the activities likely involve land adquisition and/or physical or economic displacement? |  |  |  | |
| *Please provide a justification of your answer:* | | | | |
| **Biodiversity Conservation and Sustainable Management of Living Natural Resources** | **YES** | **NO** | **TBD** | |
| Will the activities potentially introduce invasive alien species of flora and fauna affecting the biodiversity of the area? |  |  |  | |
| *Please provide a justification of your answer:* | | | | |
| Will the activities have potential impacts on or be dependent on ecosystem services including production of living natural resources (eg.agriculture, livestock, fisheries, forestry)? |  |  |  | |
| *Please provide a justification of your answer:* | | | | |
| **Indigenous Peoples** | **YES** | **NO** | **TBD** | |
| Will the activities potentially have any indirect impacts on indigenous peoples, ethnic minorities, or vulnerable and marginalized groups? |  |  |  | |
| *Please provide a justification of your answer:* | | | | |
| **Cultural Heritage** | **Yes** | **NO** | **TBD** | |
| Will the activities restrict access to the cultural heritage sites and properties? |  |  |  | |
| *Please provide a justification of your answer:* | | | | |
| *Will there be a need to prepare a chance-find procedure in case of the discovery of cultural heritage assets?* |  |  | |  |
| *Please provide a justification of your answer:* | | | | |
| **Stakeholder engagement and grievance** | **Yes** | **NO** | **TBD** | |
| Will the activities include a continuing stakeholder engagement procress and a grievance redress mechanism and integrated into the management/implementation plans? |  |  |  | |
| *Please provide a justification of your answer:* | | | | |

**Part C: Sign Off**

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| **Sign-off:** *Specify the name and designation of the person responsible for the environmental and social screening and any other approvals as may be required in the accredited entity’s own management system.* |

1. Concept notes (or sections of) not marked as confidential may be published in accordance with the Information Disclosure Policy ([Decision B.12/35](http://www.greenclimate.fund/documents/20182/184476/GCF_B.12_32_-_Decisions_of_the_Board___Twelfth_Meeting_of_the_Board__8_10_March_2016.pdf/020edfa1-53b2-4abf-af78-fccf5628db2a)) and the Review of the Initial Proposal Approval Process ([Decision B.17/18](http://www.greenclimate.fund/documents/20182/751020/GCF_B.17_18_-_Review_of_the_initial_proposal_approval_process.pdf/559e7b1c-7f34-44dd-9eff-8fa235714312)). [↑](#footnote-ref-2)
2. For more information please refer to Annex XIV of document [GCF/B.07/11](https://www.greenclimate.fund/documents/20182/24943/GCF_B.07_11_-_Decisions_of_the_Board_-_Seventh_Meeting_of_the_Board__18-21_May_2014.pdf/73c63432-2cb1-4210-9bdd-454b52b2846b) [↑](#footnote-ref-3)
3. In answering this checklist, you may refer to Annex 1: Guidance on Part A ESS Screening of the “[Guidelines for the environmental and social screening of activities proposed under the SAP](https://www.greenclimate.fund/documents/20182/574766/Guidelines_-_Guidelines_for_the_Environmental_and_Social_Screening_of_Activities_Proposed_under_the_Simplified_Approval_Process.pdf/4df31b53-87bd-419a-9373-854047e3e87f))” [↑](#footnote-ref-4)