

ESMS Questionnaire & Screening Report – projects with grant award schemes

A grant award scheme is an instrument that allocates funding to projects (grants) which have been selected based on a call for proposals. Grant activities may result in negative environmental or social impacts, but because the grant proposals will only be known during project implementation, a **separate screening procedure** needs to be integrated into the grant award procedure. A Manual for ESMS application in Grant Making schemes provides guidance how to design such procedure. The procedure (including roles and responsibilities) needs to be described and attached to the project document. The adequacy of the proposed procedure will be appraised as part of the ESMS Clearance. In some cases, putting a grant award scheme in place and administering it is the project's only aim, while in others the grant award mechanism is only one component alongside other project components including field activities. In the first case the ESMS Questionnaire (Annex) is not needed, the project is still screened and a Screening Report produced (e.g. completion of the fields project data and Step 2). The second case requires completion of ESMS Questionnaire as input for Screening Report.

Project Data

The fields below are completed by the project proponent

Project Title:	CPIC Conservation Finance Initiative - scaling up and demonstrating the value of blended finance in conservation		
Project proponent:	The project (or better the Initiative) has been developed by the Global Forest and Climate Change Programme		
Supervising entity:	Global Forest and Climate Change Programme		
Executing agency:	The Initiative will be executed by an Investment Manager to be hired by a tender process.		
Funding agency:	GEF		
Country:	Global	Contract value (add currency):	USD 8,250,000
Start date and duration:		Amount in CHF:	
Has a safeguard screening or ESIA been done before?	<input type="checkbox"/> yes <input checked="" type="checkbox"/> no	Provide details:	

Step 1: ESMS Questionnaire

The fields below are completed by the project proponent; the questionnaire is presented in Annex A or B (see explanation above)

	Name and function of individual representing project proponent	Date
ESMS Questionnaire completed by:	Not needed as putting the financing mechanism in place and administering it is the main ESMS-relevant activity.	
ESMS Screening is <i>(tick one of the three options)</i>	<p>1. <input checked="" type="checkbox"/> required because the project budget is ≥ CHF 500,000</p> <p>2. <input type="checkbox"/> required – despite being a small project (< CHF 500,000) the project proponent has identified risk issues when completing the ESMS Questionnaire</p> <p>3. <input type="checkbox"/> not required because project budget is < CHF 500,000 and no environmental or social risks have been identified when completing the ESMS Questionnaire (or only low risks that are fully addressed by the project activities); this is confirmed below by naming the staff member who carried out the self-screening.</p>	
<i>Only applicable when option 3 is ticked above</i>	Name and function of individual representing project proponent	Risk category
Self-screening of ESMS risks completed by:		<input type="checkbox"/> low risk

Step 2: ESMS Screening Report

To be completed by IUCN ESMS reviewer(s); only needed when the options 1 or 2 above (marked in red) are ticked

	Name	IUCN unit and function	Date
IUCN ESMS Reviewer:	Linda Klare	ESMS Coordinator	7.1.2019
	Title		Date
Documents submitted at Screening stage:			

ESMS Screening Report		
Risk category¹:	<input type="checkbox"/> low risk <input checked="" type="checkbox"/> moderate risk <input type="checkbox"/> high risk	
Rationale: Summarize findings from the questionnaire and explain the rationale of risk categorization <i>See the following sections of the questionnaire for details:</i> Section A for findings about the stakeholder engagement process, Section B on the 4 Standards, Section C on other E&S impacts and Section D on risk issues related to Climate change	The project / Initiative has conceptual similarities with grant making, therefore the same approach is applied as with grant making projects. Putting in place a financing mechanism and administering it are the project's main ESMS-relevant activity. The completion of the ESMS questionnaire is sensibly done only for the individual projects to be financed through the Initiative – hence the Questionnaire in the Annex is not required. Instead, a dedicated structure and procedure for the identification, assessment, management and monitoring of environmental and social risks is needed. This will need to be presented in the project document.	
Required assessments	<input type="checkbox"/> Full Environmental and Social Impact Assessment (ESIA) <input type="checkbox"/> Partial Environmental and Social Impact Assessment (ESIA) <input type="checkbox"/> Social Impact Assessment (SIA) <input type="checkbox"/> Environmental and Social Management Plan (ESMP) <input type="checkbox"/> Environmental and Social Management Framework (ESMF) <input checked="" type="checkbox"/> Other: dedicated structure and procedure for risk identification and management	
Required actions for gender mainstreaming	Gender considerations will be important for the individual investment proposals. And hence should form part of the investment selection and appraisal process.	
ESMS Standards and other E&S Impacts	Trigger	Required tools or plans
Involuntary Resettlement and Access Restrictions <i>(see section B1 for details)</i>	<input type="checkbox"/> yes <input type="checkbox"/> no <input checked="" type="checkbox"/> TBD	<input type="checkbox"/> Resettlement Action Plan <input type="checkbox"/> Resettlement Policy Framework <input type="checkbox"/> Action Plan to Mitigate Impacts from Access Restriction <input type="checkbox"/> Access Restrictions Mitigation Process Framework
Indigenous Peoples <i>(see section B2 for details)</i>	<input type="checkbox"/> yes <input type="checkbox"/> no <input checked="" type="checkbox"/> TBD	<input type="checkbox"/> Indigenous Peoples Plan <input type="checkbox"/> Chance Find Procedures
Cultural Heritage <i>(see section B3 for details)</i>	<input type="checkbox"/> yes <input type="checkbox"/> no <input checked="" type="checkbox"/> TBD	<input type="checkbox"/> Chance Find Procedures
Biodiversity Conservation and Sustainable Use Natural Resources <i>(see section B4 for details)</i>	<input type="checkbox"/> yes <input type="checkbox"/> no <input checked="" type="checkbox"/> TBD	<input type="checkbox"/> Pest Management Plan

Decision about Standards triggered will be done by the IM for each individual investment project – hence TBD

¹ The risk category should refer to the project as well to the grants/investments financed by the project.

Step 3: ESMS Clearance of Project Proposal

The fields below are completed by the IUCN ESMS reviewer at Clearance stage

	Name	Organization and function	Date
IUCN ESMS Reviewer Clearance Stage:	Linda Klare	ESMS Reviewer	1.2.2019
	Title		Date
Documents submitted at Clearance Stage:	CPIC GEF Project Document FINAL 26012019		26.1.2019
Have findings from ESIA triggered any changes (e.g. risk level or Standards triggered)	n/a		
CLEARANCE DECISION			
<input checked="" type="checkbox"/> Cleared	<i>The conclusions are positive and the project proposal meets all requirements with regards to avoiding or reducing environmental and social risks: the proposal is accepted.</i>		
<input type="checkbox"/> Conditionally cleared	<i>The conclusions call for improving one or more ESMS activities and/or for important re-formulation of some mitigation measures. This will lead to the proposal being conditionally cleared; the reviewer will provide guidance on the way forward.</i>		
<input type="checkbox"/> Clearance rejected	<i>Essential ESMS provisions have not been complied with, critical mitigation measures have not been incorporated or don't seem feasible or sufficient for avoiding or minimizing impacts; or significant data gaps still prevail and additional field assessments are required.</i>		
Rationale – Explain clearance decision (why cleared, conditionally cleared or rejected)	<p>The process of reviewing and appraising the investment proposals to ensure compliance of the proposal with safeguard issues has been established as the responsibility of the future Investment Manager (IM). As such it is part of the selection criteria of the IM that he (the organization) can demonstrate an effective safeguard system being in place that will ensure the utmost protection against unintended environmental and social impacts. As part of the selection process IUCN will review the environmental and social safeguards policy and procedures of the IM candidates as well as their capability of implementing these procedures. The IM's safeguard system will be checked on compliance with the updated GEF Policy on Environmental and Social Safeguards and that it conforms with other industry-relevant safeguard systems, in particular with the IFC Sustainability Framework (2012) and the World Bank Group industry-specific Environmental, Health and Safety (EHS) Guidelines.</p> <p>The performance of the safeguard application will be monitored by IUCN through regular reporting on safeguard review results and a review of a sample of screening reports (randomly selected by IUCN).</p>		
Clearance conditions (when conditionally cleared, e.g. tasks to be completed during inception phase):	n/a		
Approval ESMS Clearance			
Name	Function	Date	Signature
Sheila Aggarwal-Khan	Director IUCN GEF/GCF	5.2.2019	

Project summary – *not applicable*

To be completed by project proponent

Annex: ESMS Questionnaire - *Not applicable*