# Concept Note

## Toward Risk-Aware and Climate-resilienT communities (TRACT)

Maldives | World Meteorological Organization (WMO) (to be confirmed)

19 February 2018

GREEN CLIMATE FUND

# Simplified Approval Process
# Concept Note

| | |
|---|---|
| Project/Programme Title: | Toward Risk-Aware and Climate-resilienT communities (TRACT) |
| Country(ies): | Maldives |
| National Designated Authority(ies) (NDA): | Ministry of Environment and Energy |
| Executing Entities (EE): | o Maldives Meteorological Service (MMS)<br>o Regional Integrated Multi-Hazard Early Warning System for Africa and Asia (RIMES) |
| Accredited Entity(ies) (AE): | World Meteorological Organization (WMO) (to be confirmed) |
| Date of first submission/ version number: | *[2018-02-18] [V.0]* |
| Date of current submission/ version number | *[2018-02-18] [V.0]* |

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Please submit the completed form to **sap@gcfund.org**,
using the following name convention in the subject line and file name:
***"CN-[Accredited Entity or Country]-YYYYMMDD"***

| **A. Project / Programme Information (max. 1 page)** | | | |
|---|---|---|---|
| **A.1. Project or programme** | ☑ Project<br>☐ Programme | **A.2. Public or private sector** | ☑ Public sector<br>☐ Private sector |
| **A.3. Indicate the result areas for the project/programme** | Mitigation: Reduced emissions from:<br>☐ Energy access and power generation<br>☐ Low emission transport<br>☐ Buildings, cities and industries and appliances<br>☐ Forestry and land use<br>Adaptation: Increased resilience of:<br>☑ Most vulnerable people and communities<br>☑ Health and well-being, and food and water security<br>☑ Infrastructure and built environment<br>☑ Ecosystem and ecosystem services | | |
| **A.4. Estimated mitigation impact (tCO2eq over lifespan)** | | **A.5. Estimated adaptation impact (number of direct beneficiaries and % of population)** | 200 user institutions and about 8,000 end users as direct beneficiaries, with at least 250,000 people as indirect beneficiaries. Combined, the number of beneficiaries relative to the total population is estimated at over 70% |
| **A.6. Indicative total project cost (GCF + co-finance)** | Amount: USD 11.21 million | **A.7. Indicative GCF funding requested (max 10M)** | Amount:<br>USD 10 million |
| **A.8. Mark the type of financial instrument requested for the GCF funding** | ☑ Grant ☐ Loan ☐ Guarantee Other: specify_____ | | |
| **A.9. Estimated duration of project/ programme:** | Disbursement period:<br>2018-2023 | **A.10. Estimated project/ Programme lifespan** | Indefinite |
| **A.11. Is funding from the Project Preparation Facility needed?** | Yes ☐ No ☑ | **A.12. Confirm overall ESS category is minimum to no risk** | ☑ C or I-3 |
| **A.13. Provide rational for the ESS categorization (100 words)** | The proposed project involves capacity development of MMS and key stakeholders on generation of risk-based, user-relevant early warning information, and their application in planning and decision-making in fisheries, water resources, agriculture, public health, tourism, sea transport, and disaster management sectors. Key activities include strengthening of ocean monitoring system, enhancing capabilities to predict climate and forecast weather and ocean state, development of impact forecasting capability for risk-based early warning, improving risk communication, training of users, and demonstrations of risk information application at community level. These activities pose minimum to no risk, as categorized under C/I-3 of the SAP ESS guidelines. | | |
| **A.14. Has the CN been shared with the NDA?** | Yes ☑ No ☐ | **A.15. Confidentiality** | ☐ Confidential<br>☑ Not confidential |
| **A.16. Project/Programme rationale, objectives and approach of programme/project (max 100 words)** | Maldives' geographical location predisposes the country to cyclones, strong winds, storm surges, heavy rainfall, and swells. The islands' small size and very low elevation expose populations and built-up areas to these hazards. Most at risk are half of the country's settlements, two-thirds of critical infrastructure, and tourism establishments; all located within 100meters of the shoreline. Exposure is increased with increase in extreme weather events, as indicated by downscaled climate projections. The project shall provide enabling environment for adaptation in fisheries, agriculture, water, tourism, sea transport, health, and disaster management sectors through user-focused climate services and user capacity for climate applications. | | |

## B. Project / Programme details (max. 3 pages)

### B.1. Context and Baseline (max. 1 page)

Maldives is an archipelago of 1,192 coral islands in the Indian Ocean, grouped into 26 atolls and spread over 860km from latitude 7°6'35"N to 0°42'24"S. About 200 of these islands are inhabited by its population of over 400,000; more than 80 of these islands are exclusively for tourists. The islands are small (96% are less than 1sqkm) and are low-lying, with more than 80% having ground-level elevation of less than 1m above mean sea level[1]. Maldives' location near the equator predisposes the country to tropical storms, strong winds, storm surges, and heavy rainfall, in addition to swells generated by storms from the far south. Heavy rainfall, storm surge, or swells cause flooding. The islands' small size and very low elevation expose coastal populations and built-up areas to these hazards, including sea level rise. Most at risk are half of the country's settlements, two-thirds of critical infrastructure, and almost all tourism establishments; all located within 100 meters of the shoreline[2]. Communication and access to the islands from the country's capital are costly due to the islands' geographic spread, posing a challenge for communicating forecasts and disaster risks, and for mobilizing emergency response assistance. Tourism remains the backbone of the country's economy. Fisheries and agriculture are the main livelihoods in rural areas, although agriculture is limited due to availability of cultivable land and freshwater. Tuna is the primary fish export; reef fish is the main source for live bait in tuna fishery. Coral reefs support the fisheries and tourism sectors, and reduce the impact of strong waves on shore.

Torrential rains, thunderstorms, strong winds, tornadoes, swells, and rough seas during the 2017 southwest monsoon season displaced families, caused damages to buildings, capsized fishing and supply vessels, and damaged farm fields in several islands[3]. Cyclone Ockhi, which affected northern and central Maldives from 30 November to 1 December 2017, brought strong winds that toppled roofs and trees in 22 islands, heavy rainfall that caused flooding on 36 islands, swells that swamped 4 islands, and rough seas that capsized a number of seafaring vessels[4]. Thermal stress from higher sea surface temperatures (SSTs) due to 2015-2016 El Niño resulted to bleaching of about 73% of coral cover in monitored islands[5]. The subsequent death of corals, particularly over 80% of the major reef-building coral specie Acropora, was expected to have cascading impacts on reef fish populations[6] and on tourism. Rural communities' dependence on rainwater for drinking water[7] further increases people's vulnerability to climate variability.

Downscaled climate projections for the country reveal a general increase in rainfall with accompanying increase in extremes particularly during the southwest monsoon season, and increases in mean temperature and SST, as well as increase in sea surface height[8]. Increase in rainfall is beneficial for rainwater harvesting, groundwater recharge, and agriculture, but is undesirable for tourism and water transportation. Increase in rainfall and mean temperature could increase the incidence of vector-borne diseases, such as dengue, which is endemic in the Maldives, with outbreaks correlated with seasonal rainfall and El Nino events. Increase in extreme weather events is a threat to public safety, livelihoods, and infrastructure, as well as on food supply, noting that food distribution is mainly by sea. SST increase would have adverse impact on coral health, and subsequently on fish availability and tourism. Increase in sea level, combined with high tide, is a threat to settlements, infrastructure, and existence of few very low-lying islands.

The country's Second National Communication to UNFCCC (2016) included the following adaptation actions to address potential impacts: increase in water harvesting and storage, increase in agricultural production through use of alternative technologies, increase in storage capacity of food distribution centers to address water transport difficulties during extreme events, use of different marine vessel operators for more efficient food transport, identification of potential fishing zones, public health surveillance, and physical monitoring of sea surface temperature using buoys to complement in-situ and remote sensing monitoring initiatives under the national coral reef monitoring program.

The proposed project provides an enabling environment for these adaptation actions through: use of climate data to inform the design of water and food storage facilities; impact forecasting and advisory systems that use downscaled climate outlook and weather forecasts to inform rainwater harvesting, and aid crop planning and management, public health surveillance, and managing disaster risks; improved monitoring and forecasting of ocean state to inform sea transport, tourism, and coral reef health monitoring; and provision of potential fishing zone information for the fisheries sector. The project shall contribute to addressing gaps in monitoring data availability, and capacity and confidence in using existing and new technologies to build resilience, as prioritized in the country's Second National Communication to UNFCCC. The project shall be anchored on the Monsoon Forum, a periodic climate dialogue mechanism between MMS and sectoral users that include the National Disaster Management Center, Ministry of Fisheries and Agriculture, Ministry of Tourism, Ministry of Environment and Energy, and other stakeholders, for full ownership of the project.

### B.2. Project / Programme description (max. 1 page)

[1] State of the Environment 2011, Ministry of Environment and Energy, Republic of Maldives
[2] http://documents.worldbank.org/curated/en/737921507887264006/pdf/120417-WP-PUBLIC-CountrySnapshotMaldives-Final-merged.pdf
[3] https://reliefweb.int/updates?source=2977
[4] https://maldivestimes.com/damage-to-60-islands-after-extreme-weather/
[5] https://portals.iucn.org/library/sites/library/files/documents/2017-025.pdf
[6] https://portals.iucn.org/library/sites/library/files/documents/2017-025.pdf
[7] State of the Environment 2011, Ministry of Environment and Energy, Republic of Maldives
[8] Second National Communication of Maldives to UNFCCC, Ministry of Environment and Energy, October 2016

The proposed project aims for enhanced climate resilience of communities through user-focused climate services and user capacity for climate applications.

**Component 1: User-focused climate services**

Activities:

1. Capacity building of MMS on the generation and dissemination of downscaled climate outlook, long-lead weather forecasts, and sector-specific advisories (in collaboration with participating sectoral institutions), to inform planning and decision-making in climate-sensitive sectors. This includes model development, data assimilation, GIS-based data visualization platform development, sector-specific decision-support tool development, system (model and tool) transfer and operation and maintenance (O&M) training, risk communication, standard operating procedures (SOPs), and enhancement of dissemination system.
2. Capacity building of MMS on the generation and dissemination of high-resolution ocean state forecasts and advisories, relevant for fishery, navigation, tourism, disaster management, and marine environment sectors, in collaboration with institutions in these sectors. This includes model development, GIS-based data visualization platform development, system transfer and O&M training, risk communication, SOPs, and enhancement of dissemination system.
3. Capacity building of MMS on the generation and dissemination of location-specific potential fishing zone advisories for the fishery sector. This involves development of fishery zone forecasting model, GIS-based data visualization platform, model/system transfer and O&M training, SOPs, and dissemination system.
4. Development of ocean observing and monitoring system for SST, current, wind speed and direction, and wave and swell height, direction, and period, including chlorophyll content, to generate data for improving ocean state and fishery zone forecasts. Working with MMS, this shall involve deployment of wave rider buoys, voluntary observing vessels, development of data acquisition and management system, and O&M training.
5. Establishment of web-based data and knowledge portal for climate data, forecasts, and projections, including guidelines for application, as well as climate application experiences, with mobile application for stakeholders' easy access, for guiding and encouraging climate applications. The portal shall be hosted, operated, and maintained by MMS, in collaboration with institutions participating in the Monsoon Forum.

**Component 2: User capacity for climate applications**

Activities:

1. Training of users at national and local levels on use of climate information (historical, trends, new-generation forecast products, and projections) in sectoral planning and decision-making, including design of facilities. This includes training on translating forecasts into potential impacts and impact management advisories.
2. Training of users on new products and tools.
3. Demonstrations of climate applications at national and local (pilot sites) levels
4. Establishment of climate applications support mechanisms, including appropriate financial instruments (e.g. subsidy, microcredit, insurance, etc.), to encourage and sustain climate applications
5. Strengthening of the Monsoon Forum for more meaningful stakeholder involvement in the provision and uptake of climate services, and in evaluation of effectiveness of climate services and applications in developing adaptive capacity.

The proposed project has been piloted in countries in the South and Southeast Asian region, with documented benefits over costs. The project has great potential for transformation in the following aspects: a) sectoral institutions' collaboration and participation in building user-focused climate services, breaking traditional barriers among user institutions, and between provider and user institutions; b) users' behavioral shift toward use of probabilistic, yet longer-lead, forecasts, which are more useful for contingency planning and resource management; c) established protocols/ mechanisms for providing support to end users for sustained climate application uptake; d) user confidence in climate applications built, forming a firm foundation for adaptation; e) continued operational linkage with RIMES for incorporating new technologies, methodologies, and practices for climate applications and adaptation.

WMO shall perform project management functions. MMS shall be the main executing agency, with RIMES providing technical support (RIMES leverages its access to global climate centers, such as European Centre for Medium-range Weather Forecasts (ECMWF)). Relevant sectoral institutions are implementing partners –these include concerned departments of the Ministries of Fisheries and Agriculture, Water, Transport, Tourism, Environment and Energy, Health, and the National Disaster Management Center.

Project risks, if any, are very low, due to the following factors: a) project approach to involve communities, government institutions, and private sector in security and maintenance of observing and monitoring stations; b) existing cadre of young and technically competent operational staff at MMS who can absorb the planned capacity building and further develop products and systems; c) ongoing MMS engagement with sectoral institutions, private sector, and local authorities in the Monsoon Forum, facilitating their participation in proposed activities.

**B.3. Expected project results aligned with the GCF investment criteria (max. 1 page)**

**Impact potential.** The proposed project shall benefit about 200 user institutions at national, sub-national, and local levels and about 8,000 end users as direct beneficiaries, with at least 250,000 people as indirect beneficiaries. Combined, the number of beneficiaries relative to the total population is estimated at over 70%.

**Paradigm shift potential.** The project takes a capacity building approach of stakeholder inclusion, from model and decision support system development to testing in an operational environment, model and tool transfer, and back-up operational support from RIMES until systems, tools, and product application are fully integrated into MMS and institutional and end user environments. This approach has been proven to create an enabling environment for project activities and outcomes to continue beyond the project timeframe. Decision-support tools proposed are expert systems that translate science-based forecast information into potential impacts and impact management advisories for agriculture, health, fisheries ,tourism and disaster management sectors – innovations that the project brings. These tools are highly scalable; institutional users, once trained, could easily scale the tool to cover more areas in the country. The proposed web-based portal brings in one location climate information and application experiences for easy access and reference by various users. Such experiences shall include good practices and lessons learned, which shall also be shared in the Monsoon Forum. The Forum is also an avenue for users to share application experiences and provide feedback.

**Sustainable development potential.** Economic co-benefits of the proposed project arise from avoidable economic losses due to better preparedness to extreme events with use of improved forecast and warning information, and from climate risk-informed programs and activities. Economic gains are also expected from better management of resources due to use of forecasts of fishery zone and favourable climate/ weather conditions. These benefits translate to better national capacity to invest in climate-resilient development. Social co-benefits include improved public safety due to early warning, better health care services for vector-borne diseases as their outbreak could be predicted, and general well-being with better access to food and freshwater from forecast-informed production.

**Responsive to recipients' needs.** The proposed project shall develop capacities of user institutions and end users in the agriculture, water, fisheries, tourism, sea transport, public health, and disaster management sectors on climate applications, for managing risks from climate variability and for building adaptive capacity. These sectors are all climate-sensitive, with agriculture, fisheries, and tourism being economically important: tourism is a major contributor to the national economy, while agriculture and fisheries are the main sources of livelihoods for the country's rural population, which consists over 60% of the total population and inhabit the islands outside of Malé. The project shall also contribute to addressing gaps in monitoring data availability, and user capacity and confidence in using existing and new technologies to build climate resilience, as identified in the country's Second National Communication to UNFCCC. Lack of financial resources to implement priority adaptation actions is also a major constraint. The country has accessed donor and climate funds since 2010 to support mitigation actions and, recently, adaptation in the water sector through integrated water resource management. GCF support to the proposed project is strategic, in terms of creating an enabling environment for adaptation in seven climate-sensitive sectors.

**Promote country ownership.** The proposed project shall provide an enabling environment for implementing adaptation measures identified in the country's Second National Communication to UNFCCC (2016). The project is aligned with priority adaptation strategies of the National Adaptation Program of Action (2007), particularly on new technologies to increase local food production, safe rainwater harvesting, integrated reef fishery management, infrastructure design, implementation of the Safer Island Strategy, and capacity for healthcare delivery. The project is also aligned with the Strategic National Action Plan for Disaster Rik Reduction and Climate Change Adaptation (2010-2020), in the areas of end-to-end early warning and climate risk management for empowered and capable communities, and connecting island communities to technology, knowledge and resources for resilient communities. Additionally, proposed activities are in line with priorities identified in the Maldives Nationally Determined Contirbution (NDC), as well as the Maldives Climate Change Policy Franework (MCCPF) and relevant sectoral plans. MMS, with support from RIMES shall implement the project. RIMES is organically linked with MMS – MMS represents Maldives as RIMES Member State, and serves RIMES as Secretariat. RIMES Program Unit is RIMES technical arm, providing capacity building support to its Member States in the areas of weather, climate, and water services, among others. MMS shall engage with and receive feedback from national stakeholders through the Monsoon Forum process. Local engagement shall be through line agencies and local authorities, with MMS participation. Reporting and monitoring of project milestones, including lessons and successes, shall be made at the Monsoon Forum.

**Efficiency and effectiveness.** Requested grant resources shall help remove the investment barrier to adaptation. Private investment may not be possible since proposed project activities are geared toward provision of climate products and services, which are deemed as public goods. The project makes use of existing mechanisms, and builds on previous and ongoing climate risk management/ adaptation initiatives (such as the WMO-GFCS project) and on existing capacities within MMS, participating sectoral agencies, and other stakeholders. National and local stakeholder participation in the project, bringing with them domain knowledge for decision-support tool development and facilitating community engagement processes, reduces requirements for technical consultants and, thus, project costs.

## C. Indicative financing / Cost information (max. 2 pages)

## C.1. Financing by components (max ½ page)

| Component | Indicative cost (USD) | GCF financing | | Co-financing | | |
|---|---|---|---|---|---|---|
| | | Amount (USD) | Financial Instrument | Amount (USD) | Financial Instrument | Name of Institutions |
| 1. User-focused climate services | 5,800,000 | 4,900,000 | Grant | 700,000<br>200,000 | In-kind<br>In-kind | RIMES<br>MMS |
| 2. User capacity for climate applications | 3,050,000 | 2,800,000 | Grant | 250,000 | In-kind | RIMES |
| 3. Effective and efficient project implementation | 2,360,000 | 2,300,000 | Grant | 60,000 | In-kind | RIMES |
| **Indicative total cost (USD)** | 11,210,000 | 10,000,000 | Grant | 1,210,000 | In-kind | RIMES and MMS |

## C.2. Justification of GCF involvement (max 1/2 page)

Maldives' economy is highly reliant on tourism and fisheries. Tourism, on one hand, remains the major income earner for the country, and contributed significantly in lifting the country out from its least developed country status in 2011. Decline in tourism revenue in 2016 is one of the causes of the wide fiscal deficit during the year[9]. Considering its public debt of 61.9% of GDP (2016)[10], shocks to tourism would have serious impacts to the country's economy. Fishing, on the other hand, is the primary industry for rural Maldivians, and fish is the country's main export and, thus, also a key source of foreign exchange. Tourism and fisheries, however, are sectors that are at high risk to climate variability and change, as they are very much dependent on climatic seasonality and the country's coastal and marine environments. Climate risk reduction and adaptation is, thus, paramount.

High public debt, with high risk of external debt distress[11], constrains public financing for adaptation. The country has, in fact, accessed external financial assistance from 2008 to support mitigation and adaptation efforts. GCF assistance would be of great value in this regard. Maximum concessionality through a grant would be very much desired over loan or other debt instruments, considering the country's high public debt. Private sector financing may be difficult to obtain, as the proposed project involves provision of improved climate products and services, which are considered as public goods.

However, public and private sector economic benefits, anticipated from the project due to better management of resources and risks from application of improved climate products and services, could translate to investments in climate-resilient development. It should be noted though that such investments could be realized **only after demonstration** of such economic benefits from use of improved climate products and services.

## C.3. Sustainability and replicability of the project (exit strategy) (max. 1/2 page)

Stakeholder participation, capacity building, highly scalable tools, demonstration approach, and linkage with RIMES are the strategies for project sustainability and replicability.

Proposed interventions are based on needs and demands from institutions that participate in the MMS-convened Monsoon Forum. Model and tool development, and climate application demonstrations shall involve key personnel from MMS and participating institutions, such as Ministry of Tourism, Ministry of Fisheries and Agriculture, Environmental Protection Agency, Health Protection Agency, National Disaster Management Center, and their line agencies, including Atoll and Island Councils at the pilot sites, to facilitate ownership of processes, products, and outcomes. The Monsoon Forum shall be used as platform for monitoring and reporting of project milestones, and for evaluation of effectiveness of climate services and applications in developing adaptive capacity.

Models and tools shall be developed with involvement of MMS and concerned institutions to facilitate technology transfer, and enable them to operate, maintain, and further develop these systems on their own, with remote assistance from RIMES if required. These systems shall be transferred to MMS and institutional users, and integrated into their operational systems. RIMES shall provide hand-holding and back-up support even after project-end, as may be required, until this integaration is realized. Decision support systems are highly scalable – although developed for the

[9] http://documents.worldbank.org/curated/en/737921507887264006/pdf/120417-WP-PUBLIC-CountrySnapshotMaldives-Final-merged.pdf
[10] http://documents.worldbank.org/curated/en/737921507887264006/pdf/120417-WP-PUBLIC-CountrySnapshotMaldives-Final-merged.pdf
[11] http://documents.worldbank.org/curated/en/737921507887264006/pdf/120417-WP-PUBLIC-CountrySnapshotMaldives-Final-merged.pdf

pilot sites, systems can be easily scaled with input of site-specific data for additional locations. Engagement with and support to users for applications shall be undertaken through a demonstration approach to guide user institutions in facilitating capacity building processes with end users. Climate application demonstration outcomes shall be documented, with benefits quantified, to generate evidence for convincing policy- and decision-makers to invest in climate adaptation/ resilience, and scale the impacts of the project.

Ownership of observing systems that will be established under the project shall be transferred to MMS. MMS shall collaborate with the Maldivian Coast Guard, Maldives Ports Limited, Ministry of Tourism, and Ministry of Fisheries and Agriculture under an Agreement framework, for operation, maintenance, and security of ocean observing systems. Such arrangement has been shown to work in Seychelles. The proposed project budget has provision for spare sensors, to allow MMS time to integrate maintenance costs into its operational budget.

### C.4 Stakeholders engagement in the project or programme (max ½ page)

The project concept was developed with inputs from institutions that are participating in the Monsoon Forum. Stakeholders of the proposed project are also key stakeholders of the Monsoon Forum, which MMS convenes. In developing the concept into a funding proposal, meeting with stakeholders shall be organized to obtain further inputs, ensure that priority needs are integrated in the proposal, determine baselines, and finalize the Monitong and Evaluation (M&E) plan. Such meeting shall build firm blocks for project ownership.

### C.5 Monitoring and Evaluation and reporting plans (max ¼ page)

**Roles and responsibilities.** *The Project Manager-AE* ***(PM-AE)*** shall be responsible for overall project monitoring, facilitating semi-annual evaluation against the M&E plan, annual reporting to the Fund, and organizing mid-term and end-of-project external evaluations. A *Project Steering Committee* ***(PSC)*** shall be constituted, consisting of focal points of key project stakeholders (Ministry of Tourism, Ministry of Fisheries and Agriculture, Environmental Protection Agency, Health Protection Agency, National Disaster Management Center, Maldivian Coast Guard, Maldives Ports Limited, and Atoll Councils at pilot sites), and chaired by the PM-AE. The PSC shall be responsible for semi-annual evaluation against the M&E plan, and for providing feedback as well as guidance to MMS and RIMES, including efforts to sustain project initiatives and outcomes. *The Project Manager-EE* ***(PM-EE)*** shall be responsible for day-to-day project monitoring; quality check of project outputs; results documentation; quarterly evaluation against the work plan, budget, and M&E plan; quarterly reporting of project progress and financial performance to PM-AE; semi-annual reporting to the Project Steering Committee (PSC); and preparation of annual work plans.

The project implementing team, led by the PM-EE, shall meet quarterly to review project progress, share problems met and identify corresponding solutions, highlight successes and lessons, and plan and coordinate for the next quarter activities. The PSC, convened by the PM-AE, shall meet semi-annually, back-to-back with the Monsoon Forum.

## D. 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

### Part A: Risk Factors

The questions describe the "risk factors" of activities that would require additional assessments and information. Any "Yes" response to the questions will render the proposal not eligible for the Simplified Approval Process Pilot Scheme. Proposals with any of the risk factors may be considered under the regular project approvals process instead.

| Exclusion criteria | YES | NO |
|---|---|---|
| Will the activities involve associated facilities and require further due diligence of such associated facilities? | ☐ | ☑ |
| Will the activities involve trans-boundary impacts including those that would require further due diligence and notification to downstream riparian states? | ☐ | ☑ |
| Will the activities adversely affect working conditions and health and safety of workers or potentially employ vulnerable categories of workers including women, child labour? | ☐ | ☑ |
| 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? | ☐ | ☑ |
| 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? | ☐ | ☑ |
| Will the proposed activities potentially involve resettlement and dispossession, land acquisition, and economic displacement of persons and communities? | ☐ | ☑ |
| Will the activities be located in protected areas and areas of ecological significance including critical habitats, key biodiversity areas and internationally recognized conservation sites? | ☐ | ☑ |
| Will the activities affect indigenous peoples that would require further due diligence, free, prior and informed consent (FPIC) and documentation of development plans? | ☐ | ☑ |
| 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? | ☐ | ☑ |

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

| Assessment and Management of Environmental and Social Risks and Impacts | YES | NO | TBD |
|---|---|---|---|
| Has the AE provided the E&S risk category of the project in the concept note? | ☑ | ☐ | ☐ |
| Has the AE provided the rationale for the categorization of the project in the relevant sections of the concept note or funding proposal? | ☑ | ☐ | ☐ |
| Is there any additional requirement required by the country? | ☐ | ☑ | ☐ |
| Are the identification of risks and impacts based on recent or up-to-date information? | ☑ | ☐ | ☐ |
| **Labour and Working Conditions** | **YES** | **NO** | **TBD** |
| Will the proposed activities expected to 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? | ☐ | ☑ | ☐ |

| | | | |
|---|---|---|---|
| Will the proposed activities pose occupational health and safety risks to workers including supply chain workers? | ☐ | ☑ | ☐ |
| **Resource Efficiency and Pollution Prevention** | **YES** | **NO** | **TBD** |
| Will the activities expected to generate (1) emissions to air; (2) discharges to water; (3) activity-related greenhouse gas (GHG) emission; and (5) waste? | ☐ | ☑ | ☐ |
| Will the activities expected to utilize natural resources including water and energy? | ☐ | ☑ | ☐ |
| Will there be a need to develop detailed measures to reduce pollution and promote sustainable use of resources? | ☐ | ☑ | ☐ |
| **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? | ☐ | ☑ | ☐ |
| Will there a need for an emergency preparedness and response plan that also outlines how the affected communities will be assisted in times of emergency? | ☐ | ☑ | ☐ |
| Will there be risks posed by the security arrangements and potential conflicts at the project site to the workers and affected community? | ☐ | ☑ | ☐ |
| **Land Acquisition and Involuntary Resettlement** | **YES** | **NO** | **TBD** |
| Will the activities likely involve voluntary transactions under willing buyer-willing-seller conditions and has these been properly communicated and consulted? | ☐ | ☑ | ☐ |
| **Biodiversity Conservation and Sustainable Management of Living Natural Resources** | **YES** | **NO** | **TBD** |
| Will the activities likely introduce invasive alien species of flora and fauna affecting the biodiversity of the area? | ☐ | ☑ | ☐ |
| Will the activities have potential impacts on or dependent on ecosystem services including production of living natural resources? | ☐ | ☑ | ☐ |
| **Indigenous Peoples** | **YES** | **NO** | **TBD** |
| Will the activities likely to have indirect impacts on indigenous peoples? | ☐ | ☑ | ☐ |
| Will continuing stakeholder engagement process and grievance redress mechanism be integrated into the management / implementation plans? | ☐ | ☑ | ☐ |
| **Cultural Heritage** | **YES** | **NO** | **TBD** |
| Will the activity allow continuous access to the cultural heritage sites and properties? | ☐ | ☑ | ☐ |
| Will there be a need to prepare a procedure in case of discovery of cultural heritage assets? | ☐ | ☑ | ☐ |

**Sign-off:** *Specify the name 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.*