



Exclusion and eligibility criteria

Investment Name

Country

| Eligibility criteria (GCF) | | Explanation | Compliant with criteria (Y/N/M) | Comments |
|-----------------------------|--------------|---|---|----------|
| 1 | FAA | The project is located in a beneficiary country that signed a Non objection Letter to SCF | | |
| 2 | FAA | SCF Global has received a mandate letter or similar from the relevant subnational authority to develop and seek financing solutions for the project or has evidence from the project proponent that such a mandate will be provided | | |
| 3 | FAA | The expected total capital contribution by SnCF Global for the project is between USD5,000,000 (five million US Dollars) to USD75,000,000 (seventy-five million US Dollars) | | |
| 4 | FAA | The project targets one or more of the following sectors: water and sanitation; restorative agriculture/aquaculture; urban development solutions; waste optimization; renewable energy generation and energy efficiency, including energy efficiency retrofits. | Nature-based Solutions is cross cutting | |
| 5 | FAA | The project does not fall under the Exclusion List in the ESMS. | see below | |
| 6 | FAA | ES categorization is B or C. | | |
| 7 | FAA | The project is expected to contribute positively to climate action (SDG 13) and positively contribute to at least two other SDGs, such as (but not limited to) SDG improved health (SDG 3), gender mainstreaming (SDG 5), clean water and sanitation (SDG 6), access to clean energy (SDG 7), job creation (SDG 8), sustainable communities (SDG 11), biodiversity (SDG 14 and 15). | SCF mandatory SDGs: SDG 13: Climate Action SDG 8: Job Creation SDG 11: Sustainable Cities and Communities SDG 5: Gender Equality -> all SCF projects must include gender-sensitive elements | |
| 8 | FAA | The project aligns with the Host Country's Nationally Determined Contributions under the Paris Agreement. | Via Gold Standard NDC tool or check https://unfccc.int/NDCREG | |
| 9 | FAA | Preliminary financial analysis yields an expected target gross IRR for the project of at least thirteen per cent (13%). | | |
| 10 | not explicit | The project sponsor is a private or PPP entity seeking an Equity investment. | | |
| 11 | in FP | The project is a "greenfield" project where the capital contribution will support new activities, improvements, and constructions. | From GCF FP: In summary, the Fund is designed to deliver USD \$750 million to <u>new</u> climate mitigation and adaptation <u>projects that to date have not been funded.</u> | |
| SCF ESMS Exclusion criteria | | Explanation | Compliant with criteria (Y/N/M) | Comments |
| 1 | | Activities with significant adverse environmental and social risks that are diverse, irreversible or unprecedented | | |
| 2 | | Non-legal and non-sustainable waste projects, including | | |
| | 2.a. | Transboundary movements of waste prohibited under international law, unless compliant with the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal and underlying regulations; and | | |
| | 2.b. | Large unsorted municipal waste incineration projects | | |
| 3 | | Large Hydro projects including dam construction and run-of-river hydro | GCF does not have a definition of large. IFC defines large hydro as > 100MW: https://www.ifc.org/wps/wcm/connect/906fa13c-2f47-4476-9476-75320e08e5f3/Hydropower_Report.pdf?MOD=AJPERES&CID=kIQI35z | |
| 4 | | Projects involving physical or involuntary resettlement | | |
| 5 | | Activities prohibited by host country legislation or international conventions relating to the protection of biodiversity resources or cultural heritage | | |
| 6 | | Destruction of High Conservation Value areas or areas with major biodiversity | | |
| 7 | | Projects that may cause significant adverse impacts (equivalent to category A), or projects equivalent to category B, that do not acquire prior informed consent from indigenous peoples, in line with the GCF Indigenous Peoples Policy | Indigenous peoples (GCF definition according to the GCF indigenous policy): The term indigenous peoples is used in a generic sense to refer to a distinct social and cultural group possessing the following characteristics in varying degrees: - Self-identification as members of a distinct indigenous social and cultural group and recognition of this identity by others; - Collective attachment to geographically distinct habitats, ancestral territories, or areas of seasonal use or occupation as well as to the natural resources in these areas; - Customary cultural, economic, social, or political systems that are distinct or separate from those of the mainstream society or culture; and - A distinct language or dialect, often different from the official language or languages of the country or region in which they reside. This includes a language or dialect that has existed but does not exist now due to impacts that have made it difficult for a community or group to maintain a distinct language or dialect. In some countries, such groups are referred to as indigenous peoples. In other countries, they may be referred to by other terms, such as "indigenous peoples and local communities", "local communities", "sub-Saharan African historically underserved traditional local communities", "indigenous ethnic minorities", "Afro-descendant communities of South America and the Caribbean", "ethnic groups", "aboriginals", "hill tribes", "vulnerable and marginalized groups", "minority nationalities", "scheduled tribes", "first nations", "tribal groups", "pastoralists", "hunter-gatherers", "nomadic groups" or "forest dwellers". | |
| 8 | | Projects adversely affecting cultural heritage or cultural heritage sites | | |
| 9 | | Projects which result in depriving people's individual rights and freedom, or violation of human rights; | | |
| 10 | | The production of, or trade in, any product or activity deemed illegal under host country (i.e. national) laws or regulations, or international conventions and agreements, or subject to international phase out or bans, such as: | | |
| | 10.a. | Production of or trade in products containing PCBs | A polychlorinated biphenyls (PCBs) were once widely deployed as dielectric and coolant fluids in electrical apparatus, carbonless copy paper and in heat transfer fluids | |
| | 10.b. | Production of or trade in pharmaceuticals, pesticides/herbicides and other hazardous substances subject to international phase-outs or bans | | |
| | 10.c. | Production of or trade in ozone depleting substances subject to international phase out | | |
| | 10.d. | Trade in wildlife, production of or trade in wildlife products regulated under CITES | CITES = Convention on International Trade in Endangered Species of Wild Fauna and Flora | |
| | 10.e. | Trade in goods without required export or import licenses or other evidence of authorization of transit from the relevant countries of export, import and, if applicable, transit | | |
| 11 | | Production or trade in weapons and munitions | | |
| 12 | | Production or activities involving harmful or exploitative forms of forced labour or child labour as defined in the ILO core labour standards | | |
| 13 | | Production of cosmetics etc. involving testing on animals | | |
| 14 | | Commercial logging operations for use in primary tropical moist forests | | |

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|---|-------------------|---|--|-----------------|--|
| 15 | | Production of wood or wood products other than from sustainably managed forests (enterprises with less than 50% FSC-certified production are excluded) | With respect to dual certification Gold Standard recognises that FSC certification can be used to demonstrate conformity with the Safeguarding Principles Assessment and Annual Reporting Requirements. In such cases, the Gold Standard Validation/Verification Body (GS-VVB) is not required to re-check the FSC documentation. The Project shall demonstrate conformity to Safeguarding Principle 8 - Water. FSC Certification is not deemed as evidence that this Principle is met. | | |
| 16 | | Any business activity involving pornography | | | |
| 17 | | Production or distribution of racist, anti-democratic and/or neo-Nazi media | | | |
| 18 | | Production or trade in alcoholic beverages (excluding beer and wine) | | | |
| 19 | | Production or trade in tobacco | | | |
| 20 | | Gambling, casinos and equivalent enterprises | | | |
| 21 | | Production or trade in radioactive materials | | | |
| 22 | | Production or use of or trade in unbonded asbestos fibres or asbestos-containing products | | | |
| 23 | | Drift net fishing in the marine environment | | | |
| 24 | | Shipment of oil or other hazardous substances in tankers which do not comply with IMO requirements | | | |
| Gold Standard exclusion and eligibility criteria | | | Explanation | Comments | |
| | | Project must not be associated with geoengineering or energy generated from fossil fuel or nuclear, fossil fuel switch, or any project that supports, enhances or prolongs such energy generation. | This excludes any natural gas activities. Geoengineering includes interventions like spraying seawater thousands of metres into the air to seed the formation of stratocumulus clouds that will deflect sunlight; installing sun-shields or mirrors in space to reflect the sun; or injecting sun-blocking particulates into space. | | |
| | SGP 3.9.6 | Projects involving the use of GMOs are not eligible for Gold Standard Project Design Certification | Gold Standard projects shall not introduce GMO crops, trees, and/or livestock; however, the continuation of use of GMOs already in place in the baseline is allowed. | | |
| | SGP 3.9.17 | The Project shall not make use of chemicals or materials subject to international bans or phase-outs. For example chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants (e.g. DDT, PCBs) or the Montreal Protocol which covers HFCs/CFCS | http://chnm.pops.int/TheConvention/ThePOPs/ListingofPOPs/tabid/2509/Default.aspx ; https://www.epa.gov/ozone-layer-protection/ozone-depleting-substances ; partially covered in ESMS exclusion list | | |
| | | Project area shall not be on wetlands | Wetland: Definition of wetland according to the IPCC (Source – IPCC – Good Practice Guidance - Wetlands): "This category includes land that is covered or saturated by water for all or part of the year (e.g. peatland) and that does not fall into the forest land, cropland, grassland or settlements categories". | | |
| | | Hydro projects only - must not be located in areas of High Conservation Value (HCV). | Consult with local Government Authorities and check World Database on protected planets, IUCN, UNEP, the Ramsar list of wetlands, and the United Nations list of protected areas. https://www.protectedplanet.net/en ; https://www.iucn.org ; https://www.unep.org ; https://www.ramsar.org/country-profiles ; https://www.protectedplanet.net/en/resources/united-nations-list-of-protected-areas https://www.ibat-alliance.org/ | | |
| | | Projects involving Animal Husbandry - Synthetic growth promoters including hormones shall not be administered. | Animal husbandry is the branch of agriculture concerned with animals that are raised for meat, fibre, milk, or other products. | | |

Exclusion and eligibility criteria

Investment Name

Country

| Gold Standard sector eligibility criteria | Explanation | Compliant with criteria (Y/N/M/N.A.) | Comments |
|---|--|--------------------------------------|----------|
| Projects seeking carbon credits | | | |
| Carbon Credits only - Financial additionality to be demonstrated (if carbon credits are sought). | <p>The argument for a project to be additional is that a project is not by itself making that hurdle rate (that is, it is not profitable enough) and that carbon credits can help in meeting that profitability requirement.</p> <p>Carbon credits will be deducted from the mitigation impact in the mitigation impact reporting in each APR to GCF, relative to the targets in the relevant indicators in the logical framework in the Funding Proposal. The total combined sale of such carbon credits shall not exceed in aggregate twenty per cent (20% = 16M tCO₂e over 20 years) of the total sequestration objective for the Funded Activity Agreements (see FAA).</p> <p>Avoidance of double counting: when claims are converted into an offset that is tradable - national adjustments to the climate change GHG inventory must be made to ensure no double claiming occurs.</p> | | |
| Carbon Credits only - Renewable Energy projects connected to national or a regional electricity grid in an Upper Middle- or High-income Country are ineligible for carbon credits. | | | |
| Carbon Credits only - Projects must submit for preliminary review within 1 year of the project start date | As part of the demonstration of additionality, a project needs to show ongoing commitment to carbon certification, in practice, this is measured by a deadline between the date the project officially started (major commitments) and submission to GS for certification. This deadline is 1 year. This same deadline applies to expansions of projects already issuing carbon credits (1 year from date of expansion start); the expansion may require a re-test of additionality during a "design change" process | | |
| Hydro | | | |
| For hydro projects more than 20 MW - compliance with World Commission on Dams (WCD) guidelines is required. | <p>Guidelines include:</p> <ol style="list-style-type: none"> Gaining public acceptance <ol style="list-style-type: none"> Stakeholder Consultation Transparency Comprehensive Options Assessment <ol style="list-style-type: none"> Needs Alternatives Addressing Existing Dams/hydroelectric projects Sustaining Rivers and Livelihoods <ol style="list-style-type: none"> Water use ratio Impact Assessment Cumulative Impacts Recognizing Entitlements and Sharing Benefits Ensuring Compliance <ol style="list-style-type: none"> Compliance Measures Monitoring and evaluation during crediting period Sharing rivers for peace, development and security. | | |
| A1.1.3 Hydro projects only - comprehensive ESIA must be in place to satisfy GS (covering min. requirements) | Hydropower project does not divert water from other current users or if it does, these users are in agreement with the shift of use; defined minimum ecological flow that shall be complied with; groundwater level is not seriously affected; fish passages and screens (water intake structure) installed in line with internationally recognized guidance; sediment management plan; mitigation measures shall be put in place to prevent soil erosion | | |
| Biomass to Energy | | | |
| A1.1.2 Biomass only - Project activities making use of non-renewable biomass resources shall NOT be eligible for Gold Standard registration. | | | |
| A1.2.1&1.2.2 Biomass only - Project activities making use of biomass resources to generate energy shall demonstrate that the biomass resources are renewable and available in surplus in the region (or convincing evidence is provided to demonstrate that the current users agree with the envisioned shift of use). | by applying the latest version of the CDM Methodological Tool: Project and leakage emissions from biomass. | | |
| A1.2.3. Biomass only - Project Developers shall demonstrate that their project will only make use of degraded land. This requirement is context specific and applies for biomass crop grown as a feedstock. | Land degradation is a long-term decline in ecosystem function and productivity and measured in terms of net primary productivity. All forms of land degradation will ultimately lead to a reduction of soil fertility and productivity. The general effect is reduced plant growth, which in turn causes loss of protective soil cover and increased vulnerability of soil and vegetation to further degradation (e.g. erosion). | | |
| A1.2.5 Biomass only - Activities resulting in avoidance of methane from biomass decay is eligible as long as biomass is used as a substitution for non-renewable fuels in project activities delivering energy services or for the production of a usable product with demonstrable sustainable development benefits (e.g. composting). | | | |
| A1.2.6 & 1.6.1 Biomass only - The use of non-renewable fuel in biomass heat and/or electricity generation plants is authorised as long as the renewable fuel share reaches 50% after the first 3 years of operation for retrofit projects, and represents 80% from the outset for Greenfield projects. | This requirement also applies to incineration/pyrolysis technologies | | |
| A1.2.7 Biomass only - Project activities making use of Palm oil and/or palm oil mill by-products or residues/waste for electricity and/or heat generation, and/or for biofuel production shall show compliance with RSPO requirements. | | | |
| A1.2.6 Biomass only - renewable share | The use of non-renewable fuel in biomass heat and/or electricity generation plants is authorised as long as the renewable fuel share reaches 50% after the first 3 years of operation for retrofit projects, and represents 80% from the outset for Greenfield projects. Meaningful, effective and informed participation from stakeholder groups such as local communities who are living in nearby area is required; the project shall develop and implement a waste management awareness programme to encourage stakeholders to adopt best practices for waste reduction, reuse and recycling and avoid any negative impact on prevailing waste management practices in the project boundary. | | |
| Biogas and waste heat/ gas recovery | | | |
| A1.3.1 Landfill gas/biogas from agro- processing, wastewater and other residues only - Methane recovery project activities shall be eligible if it is demonstrated that system is designed in a way to at least make use of some of the biogas recovered for the delivery of energy services (e.g., electricity, heat). | | | |
| A1.3.2 Landfill gas/biogas from agro- processing, wastewater and other residues only - Methane recovery project activities at wastewater treatment plants related to Palm Oil production shall show compliance with RSPO requirements. | | | |
| A1.4.1 Waste Heat/Gas recovery only - Industrial process waste heat recovery projects are only eligible for emission reductions related to on-site energy consumption. Emission reductions related to the export of heat or electricity generated from waste heat are NOT be eligible unless it can be shown that the primary and unique source of energy for the industrial process is renewable energy | | | |

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|------------------------------------|---|---|--|--|
| A1.4.2 | Waste Heat/Gas recovery only - industrial process waste <u>gas</u> recovery projects are only eligible for emission reductions related to on-site energy consumption. Emission reductions related to the export of gases recovered are NOT be eligible unless it can be shown that the primary and unique source of energy for the industrial process is renewable energy | | | |
| Waste to Energy | | | | |
| A1.6.1b | Waste Incineration and Gasification only - the project shall involve energy generation (electricity and/or heat) from MSW incineration | Shall be considered as recovery operations concerning the waste hierarchy as long as the project activity recovers energy from municipal waste incineration in an efficient way | | |
| A1.6.1b ii | Waste Incineration and Gasification only - Project activities using waste materials that are already in use in the pre-project situation shall NOT be eligible unless convincing evidence is provided to show that the current users are in agreement with the shift of use resulting from the project OR Project Developers shall demonstrate that the project activity makes use of surplus waste materials | The demonstration of surplus waste materials shall be made by the project developer by following the approach prescribed for demonstrating surplus biomass in the latest version of the CDM Methodological Tool: Project and leakage emissions from biomass. CLARIFICATION - 25 % larger than the quantity of biomass residues which is utilized annually OR where residues are sourced that the residues have not been collected or utilized (e.g. as fuel, fertilizer or feedstock) but have been dumped and left to decay, land-filled, left in the field to decay after harvest, or burnt without energy generation (e.g. field burning). This approach is only applicable when the site from where the residues are sourced can be clearly identified. | | |
| A1.6.1b i & a1.2.6 | Waste Incineration and Gasification only - the project shall involve energy generation (electricity and/or heat) from MSW incineration | The use of non-renewable fuel in biomass heat and/or electricity generation plants is authorised as long as the renewable fuel share reaches 50% after the first 3 years of operation for retrofit projects, and represents 80% from the outset for Greenfield projects. Meaningful, effective and informed participation from stakeholder groups such as local communities who are living in nearby area is required; the project shall develop and implement a waste management awareness programme to encourage stakeholders to adopt best practices for waste reduction, reuse and recycling and avoid any negative impact on prevailing waste management practices in the project boundary. | | |
| A1.6.1c | Waste Incineration and Gasification only - MSW incineration projects (with waste sorting - which is a GCF requirement) shall comply with EU Regulations for Waste Incineration Plants & Waste Co-incineration Plants for emission levels OR host country regulations if they are stricter than EU norms. | We should ensure compliance with waste hierarchy: 1. Prevention 2. Reuse and preparation for reuse 3. Recycle (anaerobic digestion) 4. Recovery 5. Disposal (incineration, pyrolysis, gasification) -> for reasons of technical feasibility, economic viability and environmental protection, the hierarchy may not apply Waste that can't be recycled, or isn't biodegradable: Bags and packaging, wet cardboard, ceramics, mirrors, plastic cups and disposable cutlery, plastic cartons, crisp packets, cling film, laminated packaging We should not create false incentives for waste not to be recycled. | | |
| Waste handling and disposal | | | | |
| A1.7.1 | Waste handling and disposal only - Project activities planning to make use of waste materials that are already in use in the pre-project situation shall NOT be eligible unless convincing evidence is provided to show that the current users are in agreement with the shift of use resulting from the project OR Project Developers shall demonstrate that the project activity makes use of surplus waste materials | The demonstration of surplus waste materials shall be made by the project developer by following the approach prescribed for demonstrating surplus biomass in the latest version of the CDM Methodological Tool: Project and leakage emissions from biomass. CLARIFICATION - 25 % larger than the quantity of biomass residues which is utilized annually OR where residues are sourced that the residues have not been collected or utilized (e.g. as fuel, fertilizer or feedstock) but have been dumped and left to decay, land-filled, left in the field to decay after harvest, or burnt without energy generation (e.g. field burning). This approach is only applicable when the site from where the residues are sourced can be clearly identified. | | |
| Agriculture | | | | |
| LUF 2.1.1.b | Agriculture only - Project area shall not meet the definition of forest 10 years before project start date and at project start date. If deforestation took place, the eligibility is determined by Gold Standard on the basis that the deforestation wasn't conducted with the intention of implementing activities that generate Gold Standard Certified SDG Impact Statements and/or Products. | A project shall use the definition of forest as set by the National Designated Authority/ DNA . In the absence of a definition by the DNA, a project shall use the definition of forest given by the host country. In the absence of a definition by the DNA and the host country, a project should use the definition of forest provided by the Food and Agriculture Organization (FAO). https://cdm.unfccc.int/DNA/index.html http://www.fao.org/docrep/003/x6896e/x6896e0e.htm . GS definition of DNA is different to NDA (GCF) BUT they are very likely to be the same people/institutions. | | |
| LUF 2.1.13 | Agriculture only - eligible project activities that are covered by an approved GS methodology OR seek GS approval | e.g. Cow feed supplements, methane avoidance in rice paddies. GS are currently developing an AGR framework meth, due end of 21 | | |
| LUF 2.1.13 b/c | Agriculture only - Project owner holds all the rights to implement the project (e.g. rights to harvest) and legal land title is uncontested | | | |
| LUF 3.1.3 (a/b/c) | Agriculture only - Preserving and increasing adaptive capacity for project participants must be an integral element of every project. | Adaptive capacity is the ability of documenting lessons learned, adapting to changes and opportunities, and mitigating unforeseen risks. (a) The Project Developer shall identify the current and predicted variability in climate/weather for the project region. (b) Based on the current and predicted variability in climate/weather, the Project Developer shall analyse the possible effects on the project within the crediting period. (c) The Project Developer shall implement adaptation activities appropriate to the context and need of the respective project. Adaptation activities may include: i. Practices that increase the resilience of farming systems, OR ii. Measures to improve the efficiency of water use, OR iii. Crops (crop breeds) with improved characteristics, OR iv. Crop rotation schemes, v. Sharing of existing farmers' knowledge as well as knowledge on new agriculture practices, OR vi. Diversification of livelihoods, e.g., through increased agricultural productivity, increased variety of cultivated crops, identification of other income streams, OR vii. Measures to improve soil fertility. | | |
| LUF 3.1.5 | Agriculture only - Agricultural projects shall set aside a minimum of 10% of the project area as a conservation area managed throughout the duration of the project - to protect or enhance the biological diversity following High Conservation Value (HCV) approach. | The requirement provides great flexibility to projects on what conservation activities look like, thus it doesn't provide prescriptive requirements (beside that of the amount of area). The main objective of the requirement is to enhance ecosystem connectivity, protect native plant/animal species, recover endogenous ecosystems, and protect water streams. (a) Existing patches of native tree species, AND (b) Single solitary stems of native tree species, AND (c) Habitats of rare, threatened and endangered species, AND (d) Areas relevant for habitat connectivity https://hcnetwork.org/ | | |
| LUF 3.1.6 | Agriculture only - Agricultural projects shall maintain a 15 meter-buffer in both sides of permanent or temporary water bodies, such as lakes, streams, rivers, wetlands, etc. Irrigation channels are excluded from this requirement. | Refers to rivers, lakes, and any other source of water limiting the project. In these buffer zones: (a) All existing native trees shall be kept, AND (b) No fertilizer and pesticides shall be used, AND (c) No logging activities shall take place, AND (d) No heavy machinery shall be used, AND (e) No cropping is allowed, AND (f) In case trees are being planted, these need to be native tree species. | | |

Risk Screening

Investment Name

Country

| Assessment topic and question | Risk: - Low risk - Medium risk - High risk - n.a.= not applicable - Unknown | Comments/ Justification/ Risk mitigation | GS Safeguards |
|--|--|--|---|
| IFC PS 1 Management of environmental and social risks | | | |
| 1.1 What's the risk that the investee is not able to manage environmental and social risks appropriately? | | | |
| IFC PS 2 Labour and working conditions/ GS Principle 1 Human Rights/ GS Principle 2 Gender Equality/ GS Principle 6 Labor Rights | | | |
| 2.1 What is the risk that the project does not respect internationally proclaimed human rights or is complicit in violence or human rights abuses of any kind as defined in the Universal Declaration of Human Rights? | | | Principle 1. Human Rights |
| 2.2 What is the risk that the activities will have an adverse impact on working conditions, particularly in terms of employment, compliance with labour and other laws (e.g. ILO conventions) pertaining to non-discrimination, equal opportunity, child labour, and forced labour of direct, contracted and third-party workers? | | | Principle 6.1 Labour Rights |
| 2.3 What is the risk that activities pose occupational health and safety risks to workers, including supply chain workers? | | | Principle 3. Community Health, Safety and Working Conditions |
| 2.4 Does the project directly or indirectly lead to/contribute to adverse impacts on gender equality and/or the situation of women? | | | Principle 2. Gender Equality |
| IFC PS3 Resource efficiency and pollution prevention/ GS Principle 7 Emissions and Energy Supply / GS Principle 8 Impact on Natural Water Patterns/Flows and Erosion | | | |
| 3.1 Are there severe ecological impacts on land use, air, and water use? | | | |
| 3.2 Is there a risk that the project is causing significant emissions, effluents, and other pollution of air, soil or water? Does the project generate noise and vibration or generate (hazardous) waste? | | | Principle 9.4 Release of pollutants |
| 3.3 Is the project expected to cause any of the following: - Land Erosion? And/or instability of the water body or alter the natural pattern of erosion? - Water body instability? - Fish stocks decline? - Deforestation? - Land reclamation? - Variations of natural or pre-existing pattern of watercourses, ground-water and/or the watershed(s) such as high seasonal flow variability, flooding potential, lack of aquatic connectivity or water scarcity? | | | Principle 8.1 Impact on Natural Water Patterns/Flows; Principle 8.2 Erosion and/or Water Body Instability |
| 3.4 Will the project increase greenhouse gas emissions over the baseline scenario (incl. lifecycle GHG emissions) taking into account the entire supply chain (e.g. transport)? | | | Principle 7.1 Emissions |
| 3.5 Will the project use energy from a local grid or power supply (i.e., not connected to a national or regional grid) or fuel resource (such as wood, biomass) that provides for other local users? | | | Principle 7.2 Energy Supply |
| IFC PS 4 Community health, safety and security/ GS Principle 3 Community Health, Safety and Working Conditions | | | |
| 4.1 Will the activities potentially generate risks and impacts on the health and safety of the affected communities, including impacts on ecosystem services affecting the local community health and safety? | | | |
| 4.2 Will the activities increase the risk of sexual exploitation, abuse and harassment? | | | |
| 4.3 Are the activities likely to induce potential social conflicts? | | | |
| 4.4 Will there be a need for an emergency preparedness and response plan that also outlines how the affected communities will be assisted in emergencies? | | | |
| 4.5 Will there be potential risks posed by the security arrangements and potential conflicts at the project site between the workers and the affected community? | | | |
| IFC PS 5 Land acquisition and involuntary resettlement/ GS Principle 4 | | | |

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| 5.1 | Does the project require or cause the physical or economic relocation of peoples (temporary or permanent, full or partial)? Is there a risk of involuntary relocation of people or otherwise? If so, was there/will there be a Resettlement Action Plan (RAP)/Livelihood Restoration Plan (LRP)? Was compensation given? Has this been monitored? Are there any outstanding claims/liabilities? | | | Principle 4.2 Forced Eviction and Displacement |
| 5.2 | Does the project have a large area of influence? | | | |
| 5.3 | Does the project require any change, or have any uncertainties related to land tenure arrangements and/or access rights, usage rights or land ownership (e.g. through expropriation or other compulsory procedures in accordance with the legal system of the country)? For projects involving land use tenure, are there any uncertainties with regards to land tenure, access rights, usage rights or land ownership? | | | Principle 4.3 Land Tenure and Other Rights |
| 5.4 | Does the project participant hold all necessary rights to implement the project activities (e.g. rights to harvest), AND the legal land title or similar entitlement for the land on which the project activities are implemented is uncontested? | | | |
| 5.5 | Are the activities likely to alter existing land use and restrict access to natural resources resulting in loss of livelihoods and other economic activities? Is the land degraded or marginal land? | | | |
| 5.6 | Is the land leased or purchased and could this affect deforestation? | | | Principle 9.7 Harvesting of Forests |
| 5.7 | Are there signs of contamination of land from past activities on site (agricultural & industrial)? Are tanks banded? What is the standard of storage of drums? Are there obvious leaks? Paper/Plastics general disposal? Industry/Chemical Waste disposal? Organic Waste Contamination? un-safe/contaminated water? | | | |
| IFC PS 6 Biodiversity conservation and sustainable management of living natural resources | | | | |
| 6.1 | Is the project or programme likely to be located on modified, natural and/or critical habitats or in protected or internationally recognized ecological areas? | | | Principle 9.1 Landscape Modification and Soil |
| 6.2 | Is the project or programme likely to have potential impacts on biodiversity (especially critically endangered and/or endangered species, endemic or restricted-range species, and globally significant migratory or congregatory species) and ecosystem services, including production of living natural resources? | | | |
| 6.3 | Is there a risk that High Conservation Value areas, critical habitats, landscapes, or areas with major biodiversity will be destroyed? | | | Principle 9.10 High Conservation Value Areas and Critical Habitats |
| 6.4 | Could the project be negatively impacted by or involve genetically modified organisms or GMOs (e.g., contamination, collection and/or harvesting, commercial development, or take place in facilities or farms that include GMOs in their processes and production)? | | | Principle 9.3 Genetic Resources |
| 6.5 | Is the project expected to result in a change in land use e.g. forest to agricultural; agricultural to more intensive agricultural/industrial? Does the project involve the use of land and soil for production of crops or other products? Will this involve land clearance and/or the risk of water pollution? Use of or impact on particularly fragile areas such as wetlands? | | | |
| 6.6 | Is the project aligned with deforestation safeguards? What are the potential drivers for deforestation? | | | |
| 6.7 | Is the project or programme likely to introduce invasive alien species of flora and fauna, affecting the biodiversity of the area? | | | |
| 6.8 | Will the project involve the application of pesticides and/or fertilisers? | | | Principle 9.6 Pesticides & Fertilisers |
| 6.9 | Are there any endangered species identified as potentially being present within the Project boundary (including those that may route through the area)? AND/OR Does the Project potentially impact other areas where endangered species may be present through transboundary affects? | | | Principle 9.11 Endangered Species |
| IFC PS 7 Indigenous peoples | | | | |
| 7.1 | Are indigenous peoples present in or within the area of influence of the Project and/or is the Project located on land/territory claimed by indigenous peoples? | | | Principle 4.4 - Indigenous people |
| 7.2 | Are the activities likely to have impacts on indigenous peoples and communities, such as impacts on lands and natural resources, land tenure and on cultural resources? | | | |

| | | | | |
|---|--|--|--|---|
| 7.3 | Are the activities likely to lead to physical displacement of indigenous peoples and/or restrict the access of indigenous peoples to lands and resources resulting in loss of livelihood? | | | |
| 7.4 | Will the activities provide equitable opportunities to indigenous peoples and other vulnerable group during stakeholder consultation and in decision-making during the preparation, implementation, monitoring and evaluation of the activities? | | | |
| 7.5 | Will the activities need to obtain free, prior and informed consent (FPIC)? If so, has the project obtained FPIC? | | | |
| IFC PS 8 Cultural heritage | | | | |
| 8.1 | Will the project be located on areas that are considered to have archaeological (prehistoric), paleontological, historical, cultural, artistic and religious values or contain features considered as critical cultural heritage? Does the project area affect sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture? | | | Principle 4.1 Sites of Cultural and Historical Heritage |
| Add. Stakeholders/ Communities | | | | |
| 9.1 | Is there broad community support for the project? | | | |
| 9.2 | Are stakeholders (including NGOs) currently expressing any concerns about the project or any of the proposed investors/contractors? Are such concerns likely? | | | |
| 9.3 | Has the project disclosed all relevant information, consulted with affected persons and facilitated their engagement in the decision making process? | | | |
| Add. Negative economic consequences | | | | |
| 10.1 | Does the project cause negative economic impacts during and after project implementation to the local economy (particularly for vulnerable and marginalised social groups in targeted communities)? | | | Principle 6.2 Negative Economic Consequences |
| 10.2 | Are substantial job losses or economic displacement expected to arise from the project or restructuring of the investment? Or have they occurred already as a result of the project? | | | |
| Add. Alternatives | | | | |
| | Is there a risk of better alternative scenarios/opportunity costs of the project? | | | |
| Add. Climate-related risks and opportunities | | | | |
| 11.1 | Are there climate-related risks that could impact the project (physical and transition risks)? | | | |
| 11.2 | Will the project affect water scarcity? | | | |
| 11.3 | Will the Project be susceptible to or lead to increased vulnerability to wind, earthquakes, subsidence, landslides, erosion, flooding, drought or other extreme climatic conditions? | | | Principle 9.2 Vulnerability to Natural Disaster |
| Add. Other | | | | |
| 12.1 | Will the project have severe supply chain risks? Are materials from sustainable sources? | | | |
| 12.2 | Does the Project modify the quantity or nutritional quality of food available such as through crop regime alteration or export or economic incentives? Is there a risk that project activities result in reductions of agricultural/livestock yields (compared to baseline as defined by appropriate methodology), prevent affected people from accessing food sources, reduce the nutritional value of available food sources, and result in displacement of crops (leakage)? | | | Principle 9.8 Food |
| 12.3 | Will the Project involve animal husbandry? | | | Principle 9.9 Animal husbandry |
| Add. Risks | | | | |
| 13.1 | What is the risk that we don't achieve the desired impact (e.g. climate-related risks (e.g. transition and physical risk), reputational risk, or business integrity risks, etc.)? | | | |
| Documentation | | | | |
| | Is an ESIA available? | | | |
| | Has Stakeholder Engagement been conducted? | | | |

Impact Screening

Investment Name

Country

| Assessment topic and question | Explanation | Fulfilled (Y/N/M) | Comments/ Justification |
|--|--|--|-------------------------|
| 1 Baseline | | | |
| 1.1 | What is the current state and context before any intervention? | | |
| 1.2 | What most likely would have happened in the absence of the intervention? | | |
| 2 Additionality | | | |
| 2.1 | What are the potential achievements due to the set of interventions with respect to the impact for the broader communities? (comparison between with and without intervention -> what would not have occurred without the additional resources) | | |
| 3 Climate mitigation (SDG 13: Climate Action) | | | |
| 3.1 | To what extent does the project contribute to climate mitigation? | | |
| 3.2 | What is the estimated climate mitigation potential (in tCO2e per year)? How was this potential calculated/estimated? | | |
| 4 GHG Methodology/ Gold Standard | | | |
| 4.1 | Is there an GS approved methodology that could ((in principle) be used for quantifying the climate impact of this project? (if yes, go to 4.2, if no go to 4.6) | GS approved methodologies | |
| 4.2 | Does the project type match those given as example/typical/eligible projects in the methodology? | 1) gases credited (GS only credits co2/ch4/n2o; CDM all 6 kyoto gases) & 2) GS is only renewable energy generation OR end user energy efficiency 3) no CDM LUF meth is ok apart from 3 AGR meths | |
| 4.3 | Can all the eligibility/applicability criteria in the methodology be complied with? | | |
| 4.4 | If all the eligibility/applicability criteria in the methodology be complied with, please state what criteria cannot be met and what adjustments would be needed. | | |
| 4.5 | What is the Grid Emission Factor (see Harmonized IFI Default Grid Factors 2021)? | Harmonized IFI Default Grid Factors 2021 | |
| 4.6 | If no remotely suitable methodology exists at all, please state the technology/measure that does. | | |
| 5 Job creation (SDG 8: Decent Work and Economic Growth) | | | |
| 5.1 | To what extent does the projects contribute to job creation? | | |
| 5.2 | What is the estimated job creation potential (direct and indirect but in local communities)? | | |
| 5.3 | How many jobs will be created in construction/set up of the project? | | |
| 5.4 | How many long term jobs will be created by the project and of what kind? (if possible, provide a list of job types and expected numbers) | | |
| 6 Citizens with improved living conditions and better access to services (SDG 11: Sustainable Cities and Communities) | | | |
| 6.1 | To what extent does the project improve living conditions and better access to services? Who are affected stakeholders? Who are the beneficiaries? | | |
| 6.2 | What is the estimated number of beneficiaries? | | |
| 7 Gender (SDG 5: Gender Equality) | | | |
| 7.1 | What is the current gender context? | | |
| 7.2 | Does the project improve gender equality? How? | | |
| 8 Nature-based Solutions | | | |
| 8.1 | Does the project rely currently on/or intend in the future to use and rely on functioning and healthy ecosystems and/or ecosystem product and services for achieving its objectives? Answer: Yes - project is based upon harnessing the products and services of nature and functioning and healthy ecosystems and therefore depends upon nature and healthy ecosystems No Not Sure | To answer this question you should assess whether the proposed project is not only inspired by nature, but rather uses and depends upon nature and healthy ecosystem as the solution - in which case protecting, conserving and restoring nature and the healthy functioning of ecosystems is necessary guarantee te long-term sustainability and effectiveness of the project itself. | |
| 8.2 | If the answer in 8.1 was yes, are conservation, sustainable management, restoration of natural and modified ecosystems an explicit outcome of the project? Answer: Yes - Primary outcome (High priority) Yes - Secondary outcome (moderate priority) Not an outcome Not sure | This can include, e.g., but not limited to, protection of natural habitats, reduction in biodiversity loss, enhancement of ecosystem health, restoration of degraded ecosystems, or enhancement ecosystems integrity or connectivity. If primary outcome, the activities shall be linked to the support of revenue generation and return on investment. | |
| 8.3 | Does the project aim to address one or more pressing societal challenges? If yes, which societal challenge(s) is the project aiming at addressing? | | |

Risk Categorization

Project Name

Country

| Categorization | Explanation | Typical classification for infrastructure | Fulfilled (Y/N/M) | Comments | |
|----------------|--|--|--|----------|--|
| A | Business activities with potential significant adverse environmental or social risks and/or impacts that are diverse, irreversible, or unprecedented. | <p>-Diverse: where there may be various types of risks and impacts associated with the activities. The diversity of risks and impacts may affect the capacity of the entities to plan and implement measures to manage risks and impacts, for example, projects or programmes with several different types of component subprojects that may generate varied risks and impacts;</p> <p>- Unprecedented, where the activities and the identified risks and impacts may have not been experienced in the locality, and as such may be limited in designing and implementing effective mitigation measures. Examples of such activities include infrastructure that would require mitigation measures with unique requirements;</p> <p>- Irreversible, where the activities may lead to permanent impairment of environmental quality, decline of ecosystem services, and adverse effects to the communities, including vulnerable groups. Examples of such activities include those that use non-renewable resources, reduce the integrity of natural habitats, and cause further decline and reduction of the population of species and ecological communities; and/or</p> <p>- Other considerations for category A activities include the large-scale nature of the activities, impacts that may extend beyond the project's footprint, complex implementation arrangements, duration of impacts, manageability of risks and impacts, and community involvement and support.</p> | <p><u>Waste:</u></p> <ul style="list-style-type: none"> - Areas with large vulnerable scavenger communities - Large Waste to Energy - Incineration (with oxygen) - Landfills - Hazardous waste management - Hospital waste management <p><u>Renewable energy:</u></p> <ul style="list-style-type: none"> - Hydro projects with a dam - Large run of river hydro projects - Large Solar farm - Large Wind farm - Projects involving long transmission lines <p><u>Efficient Lighting:</u></p> <ul style="list-style-type: none"> - Area with protected biodiversity that may be affected by light | | |
| B | Business activities with potential limited adverse environmental or social risks and/or impacts that are few in number, generally site-specific, largely reversible, and readily addressed through mitigation measures. | <p><u>Waste:</u></p> <ul style="list-style-type: none"> - Improving waste sorting - MSW sorting line - Composting plant - Anaerobic Digestion - Recycling plant - Pyrolysis and Gasification (in absence of oxygen) <p><u>Regenerative agriculture</u></p> <p><u>Water and sanitation:</u></p> <ul style="list-style-type: none"> - Waste water treatment plant <p>Renewable energy:</p> <ul style="list-style-type: none"> - Solar farm (<10MW) - Wind farm (<10MW) - Rural mini grid systems <p><u>Efficient Lighting:</u></p> <ul style="list-style-type: none"> - New street lighting projects | | | |
| C | Business activities with minimal or no adverse environmental or social risks and/or impacts. | <p>particularly where the activities are small-scale, undertaken within an already built environment, do not involve physical and economic displacement of people or have minimal or no adverse impacts on indigenous peoples</p> <p><u>Renewable energy:</u></p> <ul style="list-style-type: none"> - Rooftop solar installation (<1MW) <p><u>Efficient Lighting:</u></p> <ul style="list-style-type: none"> - Retrofitting of lighting | | | |