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ESS TOOLKIT

User Manual

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ESS M&E Toolkit (EIF)

User Manual

About this manual

This manual, *Environmental and Social Safeguard Monitoring and Evaluation Tool User Reference*, **forms part of the toolkit to compute and plot a number of variables including indicators for Monitoring and Evaluation (M&E) carried for projects undertaken by the EIF. The user reference has been written from an application developer's perspective. A fundamental conceptual and operational knowledge of Excel is assumed.**

Disclaimer

Data used has been obtained from reliable sources. The consultants assume no responsibility for errors and omissions in the data and information provided. Users are, however, kindly asked to report any errors or deficiencies in this product to the EIF. The choices of calculation made in this tool are derived from several reports available at the EIF.

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ESS M&E Toolkit

1. Introduction

This document refers to the user-friendly toolkit developed for use as a Monitoring and Evaluation (M&E) tool for the Environmental and Social Safeguards (ESS) for projects undertaken by the Environment Investment Fund (EIF) of Namibia.

The ESS M&E Tool can be used to assess projects after appropriate guidelines for ESS and M&E are applied and screening exercises are carried out to select the most feasible options for ensuring that damage is avoided as far as possible and people's lives are improved during and after project implementation. Thus, the toolkit allows information to be entered for projects and to monitor progress in the ESS by using both qualitative and quantitative indicators.

The ESS M&E Toolkit performs basic information and data recordings, from the different types of projects that are undertaken by EIF. The different components of the tool were thus worked out following guidelines, frameworks, and assumptions taken from the relevant documents available at the EIF, such as the Green Climate Fund (GCF) ESS Guidelines or M&E frameworks. Users of the ESS M&E Toolkit can adjust the inputs required by choosing appropriate parameters/assumptions to suit their needs of the analysis.

The tool includes the salient features of projects, their outcomes, activities and monitoring and evaluation indicators to be entered. The outputs can be generated as several reports with sets of tables and as well as graphics. If specific illustrations such as table and infographics are required to be incorporated into reports, the users can arrange the same as appropriate.

The manual is accompanied by a separate document with a simulated case study example where the possible information and data inputs and their outputs from reports are shown.

2. Overview of the EIF and the projects

The EIF undertakes innovative financing mechanisms to support environmentally and technologically sound development and promotes the sustainable economic development of Namibia through investment in and promotion of activities and projects that protect and maintain the natural and environmental resources of the country.

Among the major projects, the following gives an outline;

- CBNRM EDA project; Empower to Adapt: Creating Climate-Change Resilient Livelihoods through Community-Based Natural Resource Management in Namibia. A project financed by the Green Climate Fund.

- CRAVE Project - Climate Resilient Agriculture in three of the Vulnerable Extreme northern crop-growing regions (CRAVE). A project financed by the Green Climate Fund
- SUNREF Namibia Programme - SUNREF Namibia: an innovative program that supports local businesses to seize the opportunities of ecological transition
- Game Products Trust Fund (GPTF) - The Game Products Trust Fund (GPTF) was established through the Game Products Trust Fund Act (Act No. 7 of 1997) as a mechanism for ensuring that revenue obtained from the sale of wildlife products could be used exclusively towards wildlife conservation.
- UNDP/GEF Small Grants Programme - The UNDP/GEF Small Grants Programme embodies the very essence of sustainable development by "thinking globally acting locally".
- SAP001 project - Improving rangeland and ecosystem management practices of smallholder farmers under conditions of climate change in Sesfontein, Fransfontein, and Warmquelle areas of the Republic of Namibia.

All the projects require appropriate monitoring and evaluations to be carried out at the required intervals and examine if targets and milestones are met, especially regarding ESS.

3. Environmental and Social Safeguards

Many of the funded activities in projects are associated with environmental and social risks. In order to become accredited and receive financing, institutions must show that they can meet certain fiduciary standards and adequately manage potential risks.

The ESS aim to avoid, reduce or compensate for negative effects of activities. While there is no universal definition of safeguards, generally one can say that they consist of:

> - Rules (such as policies, laws, regulations) that reduce the environmental and social risk and negative impact of activities.
> - Institutions that implement those rules.

Environmental and social safeguards help to ensure that planned activities are successful. They can reduce conflict, optimize benefits, and help in ensuring that activities do not result in unintentional harm to people or ecosystems. *(Source: Environmental and social safeguards at the green climate fund)*

3.1. Performance Standards

Performance Standards (PSs) are widely recognized as good practice in the business community. The Performance Standards consist of one overarching standard (PS 1) and seven standards covering specific issue areas (PS 2-8). PS 1 covers the elements that need to be in place to help ensure that the remaining seven standards are implemented. Together these elements are called the Environmental and Social Management System (ESMS).

Table 1 below gives an overview of the topics covered for PS 1-8.

Table 1: The Performance Standards

1. OVERARCHING (ESMS)	
PS1: Assessment and Management of Environmental and Social Risks and Impacts	
Policy (or equivalent documents)	Process for identifying risks & impacts
Management program	Organizational capacity & competency
Process for monitoring & evaluation	External communications
2. SUBJECT SPECIFIC	
PS2: Labor and Working Conditions	PS5: Land Acquisition and Involuntary Resettlement
PS3: Resource Efficiency and Pollution Prevention	PS6: Biodiversity Conservation and Sustainable Management of Living Natural Resources
PS4: Community Health, Safety, and Security	PS7: Indigenous Peoples
PS8: Cultural Heritage	

In terms of environmental and social safeguards, there are three different accreditation categories. Institution can be accredited to implement:

• Lowest risk activities only. These activities are known as category C or I3
• Lowest (category C or I3) and medium (category B or I2) only.
• All of the risk categories, including high risk projects, known as category A or I1.

Performance Standards and Indicators

The eight PSs and their indicators are presented in Table 2, which also indicates how Risk Mitigation can be assessed. The list of indicators are not exhaustive and others can be added as appropriate. The title of the indicators can also be updated/amended as suitable to the specific project, etc.

Table 2: The Performance Standards and their indicators

Performance Standards	Risk Indicator	Mitigation Measures	Post Mitigation Impact Rating (1-7)	Reference Sources
PS 2 Environmental Assessment	Impact on terrestrial and aquatic (includes marine) ecosystem, species, habitats and functions.			
	Impact on landscape and soil			
	Borrowers and grantees understanding of legislative responsibility			

Performance Standards	Risk Indicator	Mitigation Measures	Post Mitigation Impact Rating (1-7)	Reference Sources
	Current level of compliance by proponents towards environmental legislations, e.g. Environmental Management Act of 2007			
	Allocation of responsibility for environmental management			
	Client awareness and implementation of climate change mitigation and adaptation measures.			
	Existence of a viable EMS and other sustainability mechanisms			
	Financial resources allocated to environmental management			
	Environmental capacity building			
	Exposure to extreme temperature fluctuations			
	Coastal Vulnerability			
	Sustainable us of natural resources			
	Equity of resources use			
	Other			
PS 3 Labor and working conditions of workers	Fair treatment, non-discrimination, and equal opportunity of workers			
	Maintain, and improve the worker-management relationship			
	Protect workers, including vulnerable categories of workers such as children, migrant workers, workers engaged by third parties, and workers in the client's supply chain			
	Knowledge of international and national labour practices			
	Isolation from key essential services such as health, schools, financial service providers, etc.			
	Occupational health measures integrated into the work environment			

Performance Standards	Risk Indicator	Mitigation Measures	Post Mitigation Impact Rating (1-7)	Reference Sources
	Conducive operational framework that promotes workers well being			
	Descent work principles (forced and child labour, social security, freedom of association, etc.)			
	Working hours and living conditions in commensurate with the Labor Act of 2010			
	Others			
PS 4 Measure resource efficiency and pollution prevention	Efficiency of Water use			
	Efficiency of land use			
	Efficiency of energy use			
	Air quality: regulated pollutants i.e. Sulphur dioxide (SO_2); Nitrogen dioxide (NO_2); Particulate matter (PM10); Ozone (O_3); Benzene (C_6H_6); Lead (Pb) and Carbon monoxide (CO)			
	Air quality: GHG (CO_2, etc)			
	Air quality: noise and dust			
	Water quality: effluent/pollutants to affect surface water			
	Waste: Generation of Hazardous waste			
	Disposal of hazardous waste			
	Generation of non-hazardous waste			
	Others			
PS 5 Community health, safety and security	Safeguarding of personnel and property			
	Relevant human rights principles			
	Equitable access and use of natural resource			
	Maintenance of ecosystem services and goods			

Performance Standards	Risk Indicator	Mitigation Measures	Post Mitigation Impact Rating (1-7)	Reference Sources
	Environmental health standards (pollution, degradation, etc.)			
	Strengthening of community integration			
	Emergence management plans for social safety nets			
	Ethnic and racial considerations			
	Corporate Social Responsibility			
	General public safety measures			
	Other			
PS 6 Avoid or minimise harm caused by land acquisition and involuntary resettlement	Displacement of communities			
	Forced eviction			
	Social and economic impacts from land acquisition			
	Compensation for loss of assets at replacement cost			
	Disclosure of information, consultation, and the informed participation of those affected			
	Livelihoods and standards of living of displaced persons			
	Living conditions among physically displaced persons			
	Housing with security of tenure at resettlement site			
	Others			
PS 7 Maintain biodiversity conservation and sustainable management of living natural resources	Protect and conserve biodiversity			
	Maintain the benefits from ecosystem services			

Performance Standards	Risk Indicator	Mitigation Measures	Post Mitigation Impact Rating (1-7)	Reference Sources
	Sustainable management of living natural resources			
	Integration conservation needs and development priorities			
	Cultural services obtained from ecosystems			
	Critical biodiversity habitats and high value ecosystems			
	Invasive aliens			
	Knowledge of national policies on biodiversity			
	Conservation			
	Others			
PS 8 Protect cultural heritage	Equitable sharing of benefits from the use of cultural heritage			
	Respect and preserve the culture, knowledge, and practices			
	Impact on culturally/historically significant resources			
	Impact on culturally/historically significant landscape			
	Impact on community access to natural resources			
	Community engagement on natural resources and heritage			
	Other			

Table 3: Scoring guide

Overall Environmental Indicator Impact rating	Impact Rating Point
High Positive	7
Medium Positive	6
Low Positive	5
Insignificant	4
Low Negative	3
Medium Negative	2
High Negative	1

4. ESMS

The Environmental and Social Management System (ESMS) covers the elements in the PSs that need to be in place to help ensure that the standards are implemented. An ESMS consists of the processes that institutions have in place to make sure that they adequately assess, manage and monitor environmental and social risks, and respond to problems that arise.

The ESMS has been assessed in the tool as

- Performance Standards
- Potential Risk Identified (Type of risk) - **PRI**
- Severity of Rating
- Proposed Mitigation measures
- Post Mitigation Impact rating
- Significance of risk: Likelihood, Frequency, Intensity, Manageability, Duration, Reversibility
- Rating the above as Low, Moderate or High
- References

4.1. Risks in ESS

Risk categorization consists of

- Low risk activities = category C
- Medium/Moderate risk activities = category B
- High risk = category A

5. M&E frameworks

Monitoring[1] is the collection and analysis of information about a project or programme, undertaken while the project/programme is ongoing.

Evaluation is the periodic, retrospective assessment of an organisation, project or programme that might be conducted internally or by external independent evaluators.

The objectives of the EIF M&E Plan are to:

- Track project activities,

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[1]Monitoring and Evaluation for Sustainable Communities by http://www.geog.ox.ac.uk/research/technologies/projects/monitoringandevaluation.html.

- Evaluate the extent to which project activities achieve the intended outcomes,
- Evaluate whether the project activities are timely delivered,
- Determine factors that are hindering project implementation,
- Determine or evaluate the project impacts.

There is need to identify the key internal and external stakeholders, and decide how to involve them in the design, implementation, analysis and/or communication of findings. The different people that need to be engaged include:

a) people directly involved in the projects,
b) stakeholders in the wider community (geographic or community of interest) such as specific groups of residents, specific networks, community groups, the wider movement, and/or,
c) External stakeholders e.g. funders, local and national policy makers.

5.1. Identifying what information you need to collect

Generally, the likely information needed refers to:

- Track and assess what has changed (both intended and unintended);
- Understand the reasons for changes, i.e. what factors/organisations/individuals have facilitated/constrained change (including your contribution);
- Interpret the changes i.e. people's perceptions and experiences of change.

The information collected might either be

- ➢ Quantitative information expressed in numerical terms as numbers and ratios for example. This information will allow you to answer 'what', 'how many' and 'when' questions.
- ➢ Qualitative information is expressed through descriptive prose and can address questions about 'why' and 'how', as well as perceptions, attitudes and beliefs.

Effectively monitoring and evaluating activities and their impacts can help an institution as follows:

- Know whether implementation of activities is going as planned;
- Be alert to changes or early signs of problems;
- Focus resources where needed;
- Enable adjustment of activities and plans to respond to unexpected events; and
- Build trust with stakeholders.

Effective monitoring systems will generally be tailored to the circumstances of the project or program. Typically, though, institutions will benefit from developing several types of monitoring indicators, including:

- Performance indicators, which measure the results of activities.
- Processes or inputs indicators, which measure actions taken to bring about results.

PERFORMANCE INDICATORS MIGHT MEASURE	PROCESS INDICATORS MIGHT MEASURE
• Energy consumption • Water consumption • Volume of waste disposal • Emissions to air • People displaced • Wages paid	• Percentage of workers trained on labor standards requirements • Average time between communications from stakeholders and a response • Procedures in place for handling, storage, and disposal of waste

5.2.   Indicators

Indicators identify what to measure along a range or dimension (e.g., numbers of workshops held or publications produced, percent of producers adopting new technology, ratio of female to male students, etc.).. Indicators can help to measure project implementation progress and achievement of results. The log frame provides a structure to build indicators.

SMART Properties; Indicators need to be SMART:

*S*pecific,

*M*easurable,

*A*ttainable, Accurate

*R*elevant and

*T*ime-bound

Indicators can be used to look at different spatial (geographic) or temporal (time) scales. They can monitor the projects, the portfolio, or the broader ESMS. Information can be gathered in different ways. For example, an institution might use:

- Measurements and testing, to understand resource or pollution levels.
- Visual observation, to observe work sites and other project activities.
- Interviews, to gain information from those involved in or affected by the activity.
- Surveys, systematically gain input from stakeholders.
- Focus groups, to understand the views of certain populations (like women, youth).

Often many people will be involved with monitoring, including:

- Monitoring staff – staff members (or consultants) whose main job is to monitor implementation of activities.
- Other staff – other staff members at the institution, such as managers.
- Independent monitors – independent bodies hired to monitor activities.
- Community – stakeholders affected by the activities.

Note that the so-called Executing Entities will often be required to report monitoring results to the accredited institution, which will in turn report information to the GCF.

Evaluation means using information gathered through **monitoring** to assess the status of activities, impacts, and mitigation actions.

For example:

- Water pollution increase may mean mitigations measures are not effective.
- High knowledge of grievance procedure among workers may mean that the information program is effective.

In the tool, there are different types of indicators that are used, depending on the purpose of its use or the results it is expected to provide. For monitoring the outcomes of project activities, some of the indicators are developed as mainly being quantitative which can be SMART by showing the trend over time. This trend depicts the progress and also measure the extent to which the project activities are sustainable and in line with the ESS. The following table gives an overview of such indicators.

Table 4: Indicator descriptions used in the tool

Indicator characteristics	Brief description	Remarks
Indicator name	This is the way indicators are presented in the project documents, e.g. *Expected total number of direct and indirect beneficiaries (reduced vulnerability or increased resilience); number of beneficiaries relative to total population (adaptation only)*	Note that the indicator as proposed in the project document is not SMART and hence the indicator had to be split into parts to facilitate data collection and analysis, as follows: *% females beneficiaries* *% males beneficiaries* *etc*
Indicator	The actual split indicator that is SMART, e.g. *Direct beneficiaries* *Indirect beneficiaries* *% men* *% women* *% women headed households*	
Type of Indicator	1. PERFORMANCE INDICATORS - PER • Energy consumption • Water consumption • Volume of waste disposal • Emissions to air • People displaced • Wages paid	Users can select from either of the 2 types: PER or PRO

Indicator characteristics	Brief description	Remarks
	2. PROCESS INDICATORS - PRO Percentage of workers trained on labor standards requirements Average time between communications from stakeholders and a response Procedures in place for handling, storage, and disposal of waste	
Definition of Indicator	Users can refer to the GCF document: *GCF/B.20/Inf.01, 28 May 2018: Update on the further development of some indicators in the performance measurement frameworks* [2]	The EIF may use its own definition that can be adapted from other existing ones.
Unit of Measurement	This can be • number, e.g. no. of beneficiaries, no. of males/females, etc; • %, e.g. % of households • Units specific to topics, e.g. tonnes of CO_2 avoided, ha of land forested, etc • etc	
Method of Computation	This can be based on the data collection method and can be from references such as the GCF document: *GCF/B.20/Inf.01, 28 May 2018: Update on the further development of some indicators in the performance measurement frameworks*	Measurements and testing, to understand resource or pollution levels. Visual observation, to observe work sites and other project activities.

[2] Available at: https://www.greenclimate.fund/documents/20182/1087995/GCF_B.20_Inf.01_-_Update_on_the_further_development_of_some_indicators_in_the_performance_measurement_frameworks.pdf/42a9effc-f3eb-08de-a552-c689d8b56c3b

Indicator characteristics	Brief description	Remarks
		Interviews, to gain information from those involved in or affected by the activity.
		Surveys, systematically gain input from stakeholders.
		Focus groups, to understand the views of certain populations (like women, youth).
Data Sources	Refer to above, surveys, etc.	EIA, MRV and other sources can also be used and can also be as a useful verification
Frequency	User can define and agree on the frequency of updating, e.g. quarterly, mid-term, end of year, final target year, etc.	
Details/type: gender, indigenous	This can be updated based on the topic under consideration, gender, indigenous, climate change, etc. or a combination of these as cross cutting issues.	
Base	Initial or start of project values	Existing values, e.g. population prior to project implementation
Mid-term target	Agreed mid-term value, e.g. *1,500 small scale farmers implementing improved GAP, CCA, CRA practices and benefiting with increased crop yields/outputs/harvest and from income sales from surpluses and diversified jobs from implementing the CRAVE project*	Mid-term could depend on the project duration/lifetime The Log frame defines these
Final Target	Agreed final target, as in project document	The Log frame defines these

6. Value of Safeguards

Environmental and social safeguards help ensure that planned activities are successful. They can reduce conflict, optimize benefits, and help ensure that activities do not result in unintentional harm to people or ecosystems. The tool can be used to assess the benefits to i) communities and ii) project developers. The values have been rated as

- ✓ Low
- ✓ Moderate
- ✓ High

7. Budgets

Information about budgets are also included. This shows source of budget and allows monitoring of budget.

8. Risk Indicators

The risk indicators are organized in the tool as:

- ✓ Type,
- ✓ Activity and indicator name,
- ✓ Indicator definition,
- ✓ Unit,
- ✓ Progress monitoring at baseline, mid-term and end of project values, each with overall risk ratings,
- ✓ Periodic (Quarterly or semi-annual) progress monitoring.

9. Gender

Gender is not taken as a separate item in the tool as it is cross cutting and are taken on board in the indicators. Regarding gender, the following questions need to be answered:

- ✓ Did this project bring about adaptation and reduced vulnerability to climate change for men and/or women?
- ✓ Did this project address both women's and men's specific needs for adaptation? What mechanisms ensured this?
- ✓ Has appreciation of both women's and men's knowledge and expertise improved the results of the CRAVE project? If so, how?
- ✓ Have men and women perceptions (norms, stereotypes, values) been altered during the course of the project?
- ✓ To what extent have any objectives or targets of promoting gender equality been met?
- ✓ Has the project had any unexpected or unintentional gendered effects?
- ✓ Which of the lessons learned and good practices related to mainstreaming gender in the CRAVE projects can be scaled up and documented?

The core indicators are organized as in Table 5 with:

- ✓ Outcome/Theme
- ✓ Gender indicators
- ✓ Source of verification

Table 5: Core indicators to be incorporated in the CRAVE

Project Outcomes	Gender Indicators	Source of Verification
Project design fully integrates gender concerns.	1. Percentage of project activities that have conducted gender analysis during project preparation. 2. Percentage of projects that have incorporated gender responsive project results framework (e.g. gender responsive output, outcome, indicator, budget, etc. 3. Percentage of gender balance in the governance and management structures of CRAVE	Project Document endorsement after inception.
Project implementation ensures gender equitable participation in and benefit from project activities.	4. Share of women and men as direct beneficiaries of project. 5. Share of women and men participation in project related events (meetings, etc.) 6. Share of convention related project reports incorporated gender dimensions	Project Implementation Reports, Mid-Term Evaluation Reports, and Terminal Evaluation Reports.
Project monitoring and evaluation give adequate attention to gender mainstreaming.	7. Percentage of monitoring and evaluation reports (e.g. Project Implementation Reports, Mid-term Evaluation Reports, and Terminal Evaluation Reports) that incorporates gender equality/women's empowerment issues and assess results/progress.	Project Implementation Reports, Mid-Term Evaluation Reports, and Terminal Evaluation Report

10. The ESS M&E Tool

The tool has been designed to be as user friendly as possible and thus the Excel based platform has been adopted to develop a Graphical User Interface (GUI). The GUI is the main panel though which the different modules of the tool can be accessed and operations are carried out for users to enter data and information and generate outputs such as reports and graphics.

Figure 1 below shows the main process developed into the tool.
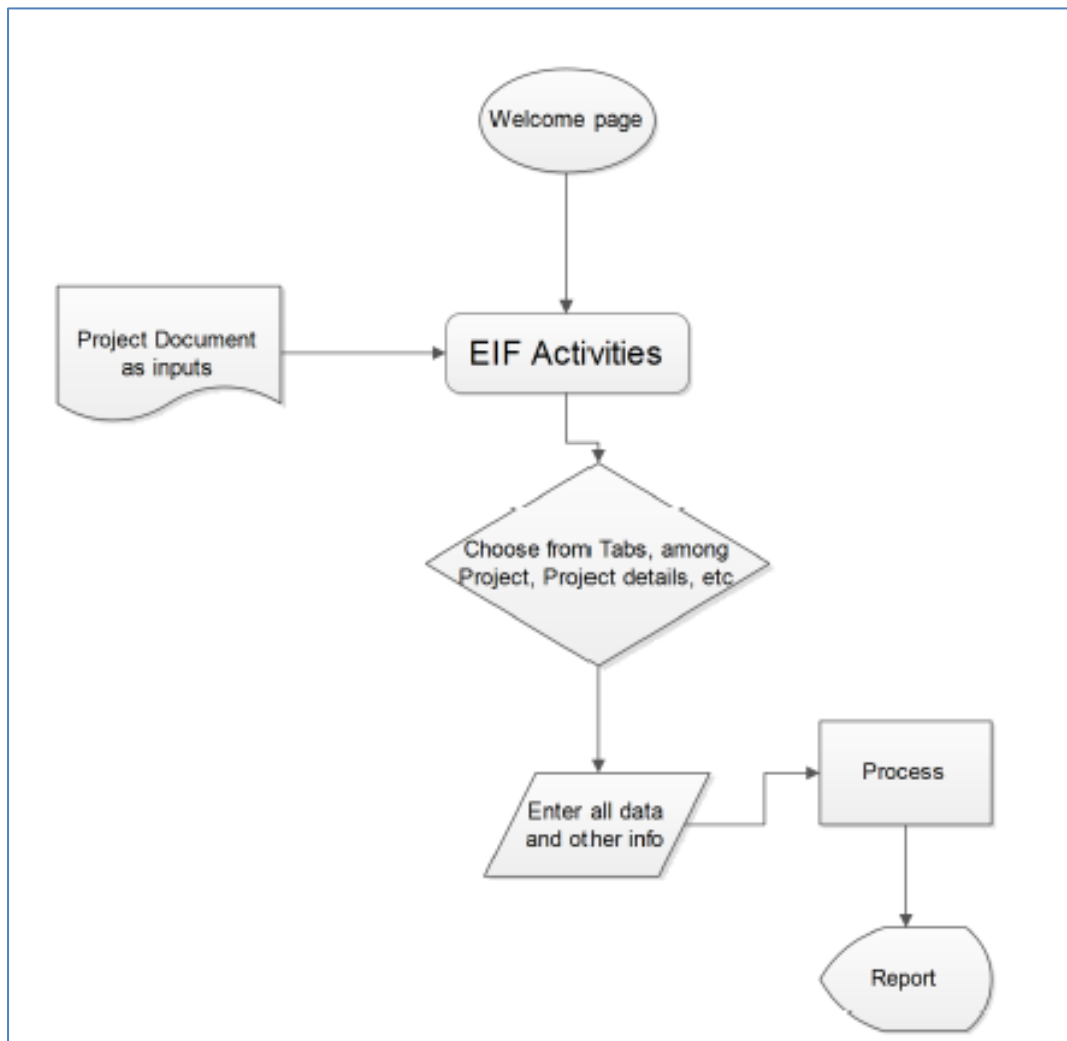
Figure 1: Snapshot of tool operation processes

The following parts of the manual provide some guidance on how to use the tool.

Welcome page

This is the main project page.

The main page is the key to the different components of the GIU. Clicking on the tab 'EIF Activities' leads to the main GIU from where the components can be accessed and the necessary information and data entered.
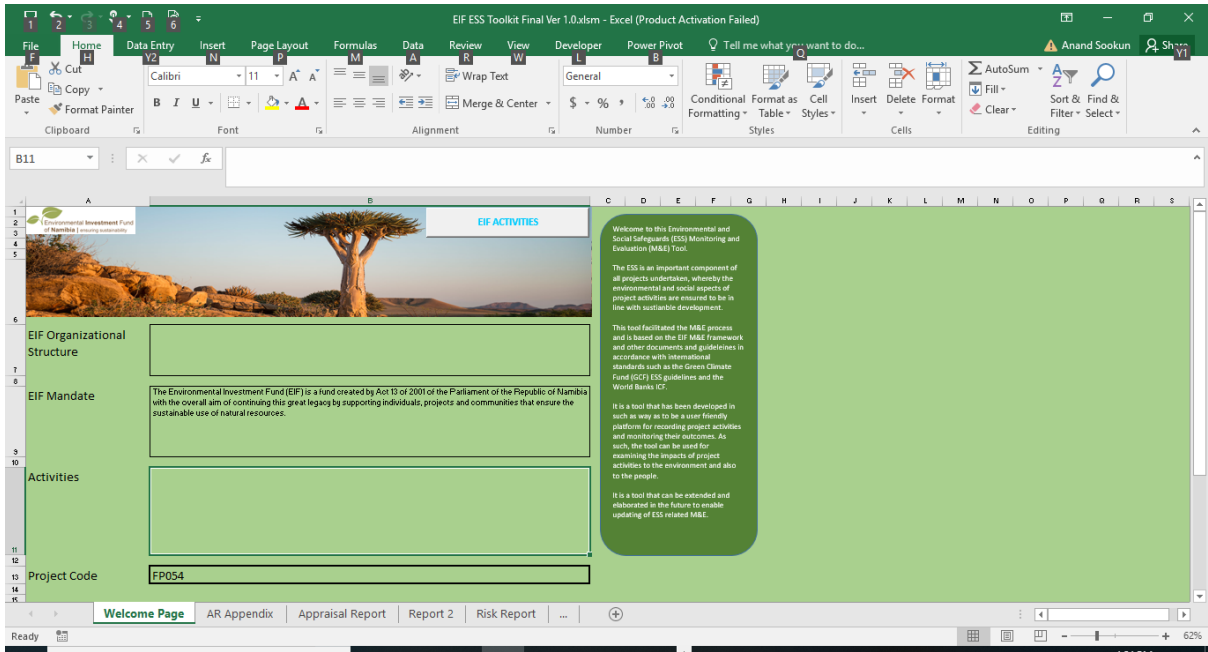
Annotated step by step instructions

Clicking the EIF ACTIVITIES push button gives the following (example for Project tab)

The project details and information to be entered include:

- ✓ The Project/Programme Ref,
- ✓ Project Title,

- ✓ Sub project title,
- ✓ Project Start, Project End,
- ✓ Project Size,
- ✓ Project Value (USD million),
- ✓ Thematic Area.

New sub project can be added.

The example from (main) Project CRAVE and sub project on solar is given as example below.
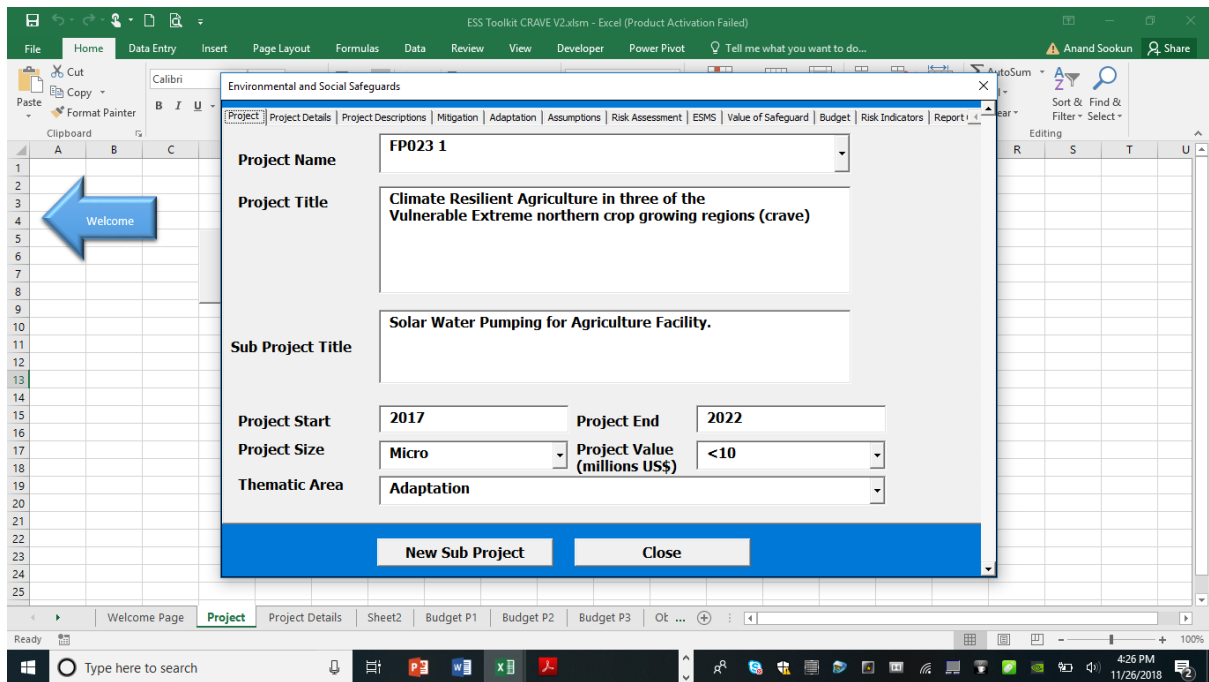
The **Project Details** tab provides a summary that can be entered in the text box
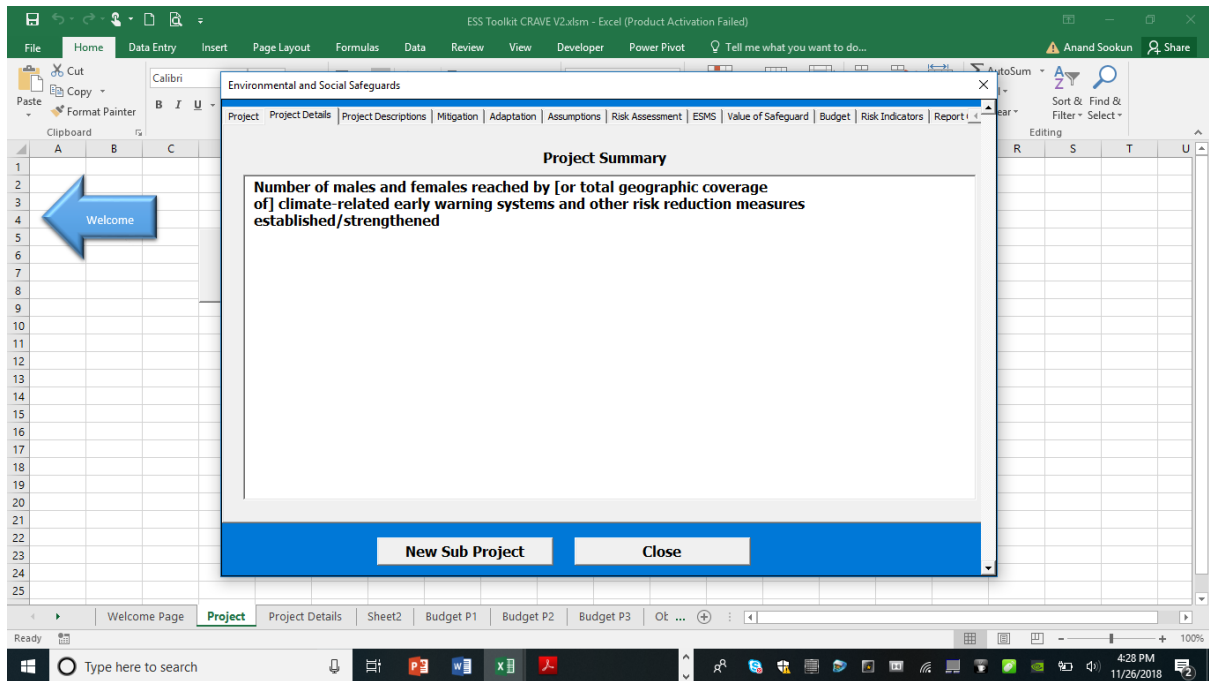
The **Project Descriptions** tab give the options to track progress of the projects with its baseline values, objectives, outcomes, impacts, and project completion level.
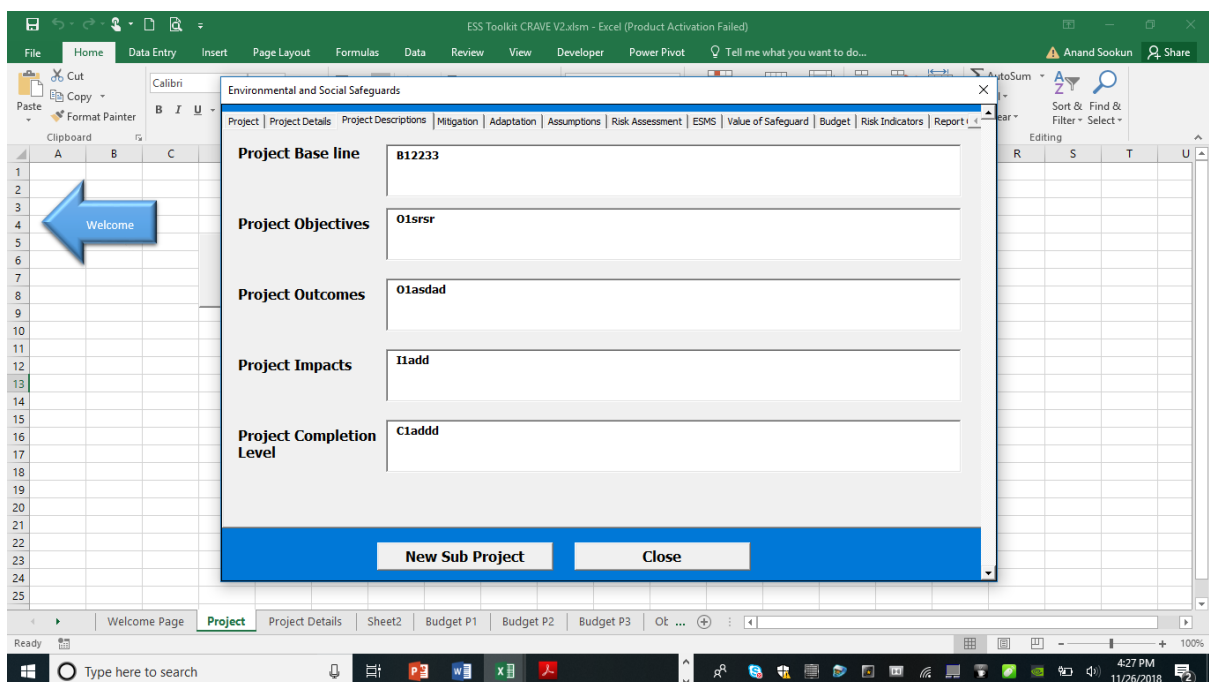
Mitigation tab

This is another tab where the information and data about project activities and outcomes can be entered. They include:

- ✓ Mitigation Strategic Impact Areas
- ✓ Indicative Activities
- ✓ Project Outputs
- ✓ Project Outcomes
- ✓ Project Impacts
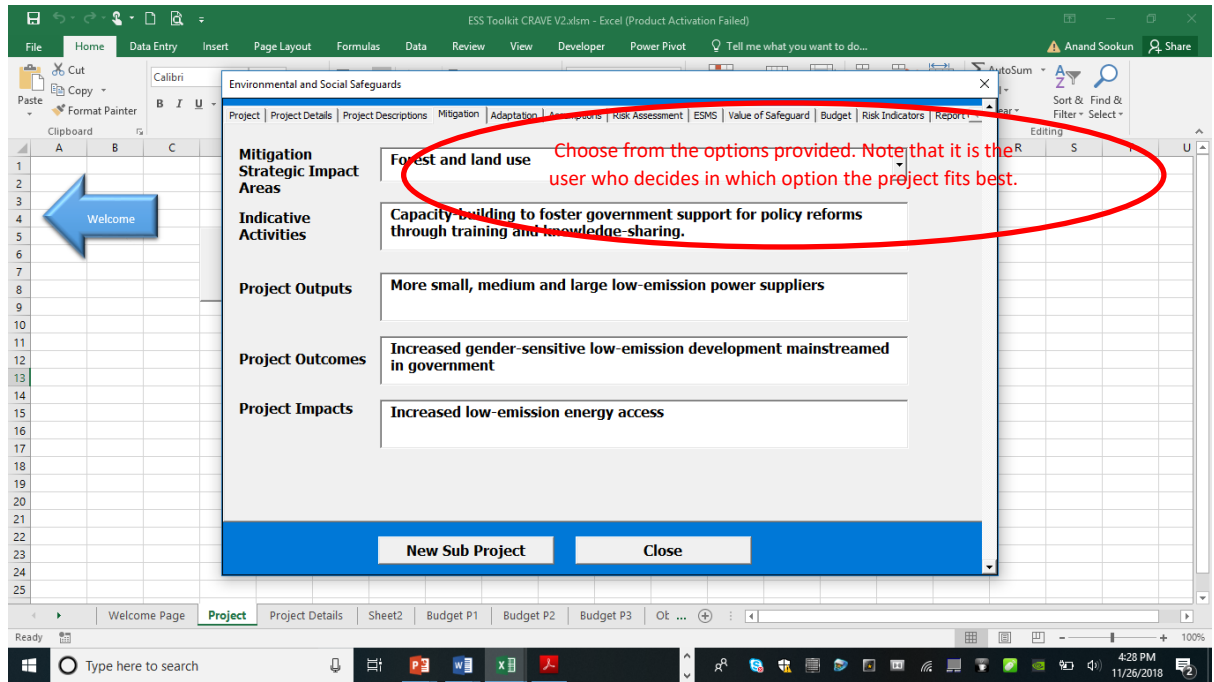
Adaptation tab

This tab includes components where data and information about project activities and outcomes can be entered and includes:

- ✓ Adaptation Strategic Impact Areas
- ✓ Indicative Activities
- ✓ Project Outputs
- ✓ Project Outcomes
- ✓ Project Impacts
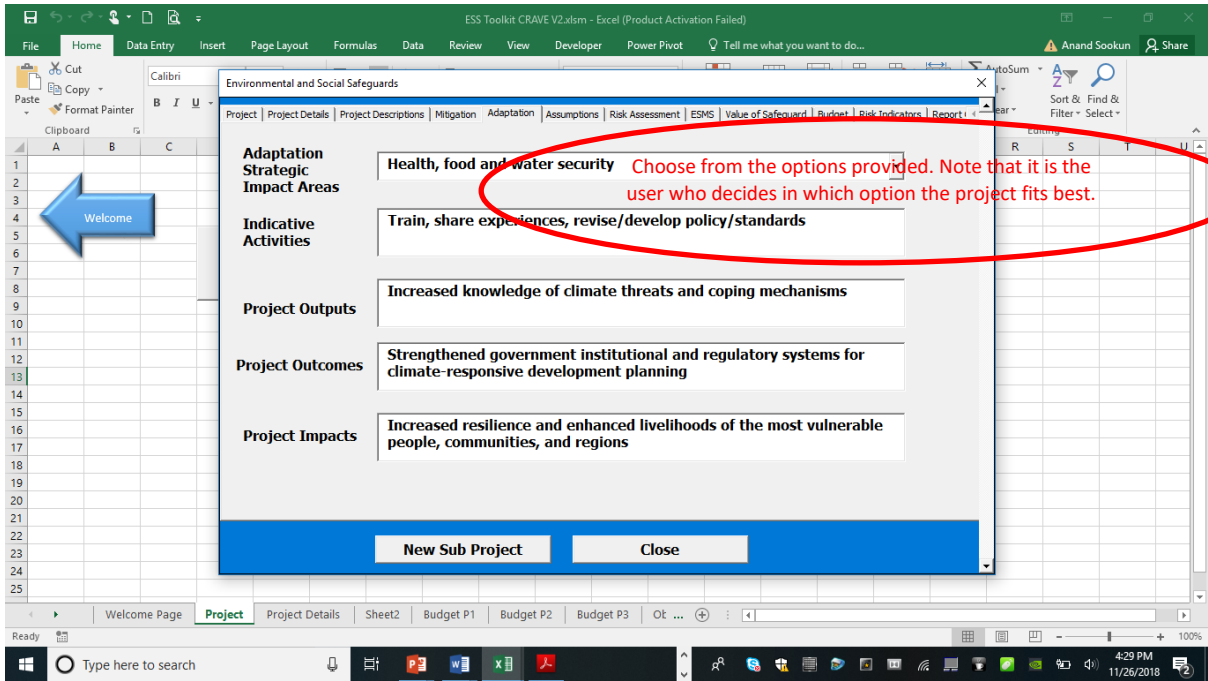
Assumptions tab

The assumptions used in the project to tract its activities and outcomes can be entered in this.
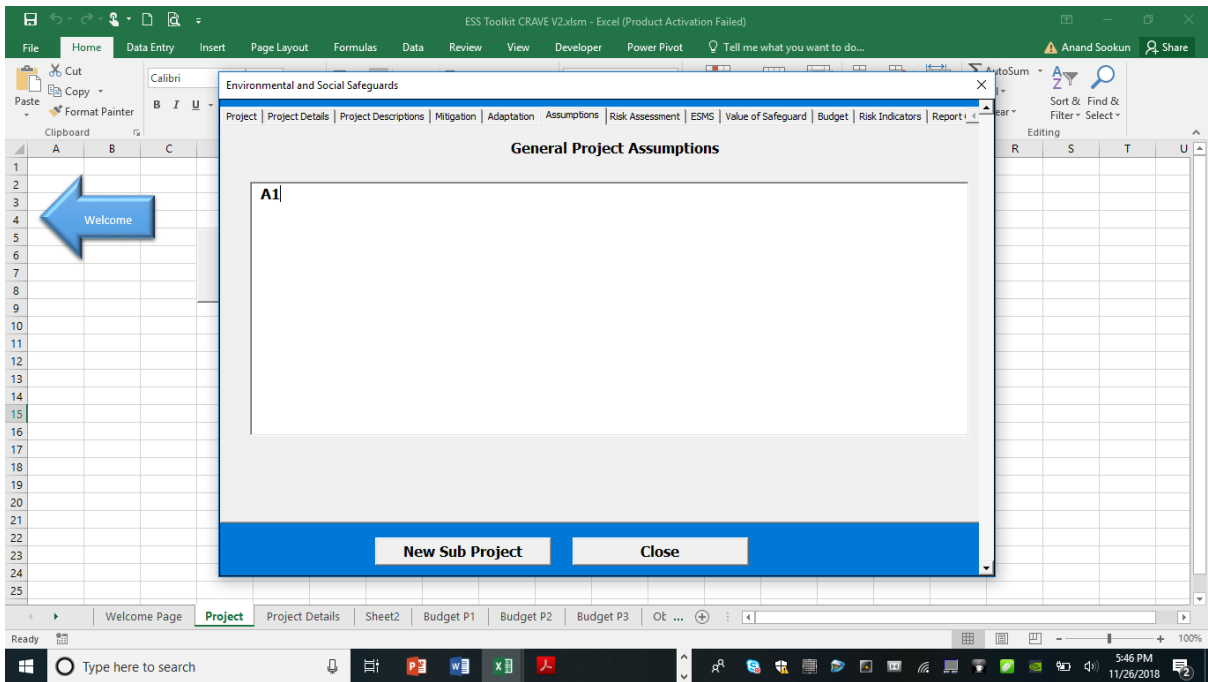
Risk Assessment tab

The risk can be entered in this window as below. These comprise of the Technical, Operational, Financial, Social and environmental and others (e.g. Legal).

Environmental and Social Management System - ESMS

The ESMS is a key component of the ESS M&E and helps to gather information in a simple and comprehensive way in order to generate a summary report.

Project identification tab

Uncertainty and Assumptions tab

The uncertainty can be assessed by clicking on a few items and the assumptions are also included.

Performance Standards

The performance standards (PSs), as outlined at start of the report, is an important segment of the ESS M&E. Each of the eight PSs can be rated for their different respective indicators. Indicators are presented as Potential Risks Identified and its severity rating can be inserted by clicking as appropriate.

The indicators for each of the PSs can be included and rated by clicking the next bottom. The proposed mitigation measures and its related post mitigation impact can also be rated and the significance of the risks can also be assessed with the different options included, such as likelihood, frequency, etc.

Beside the detailed PS with their indicators, an **overall quick assessment** is also provided for each of the PS in general, without their individual indicators. Users can thus rate the PSs based on individual overall indicator based rating done in the other tab options on Project Performance Standards.

Project Risk Category

Value of safeguards

The value of safeguards allows rating of values to communities as well as to project developers.

Budget

This includes project component information (Budget Details) and Overall Cost for each of the components and their activities so that the expenditures can be monitored.

Risk Indicators

The risks of each of the indicators are assessed and rated using the baseline, mid-term and final target values. The progress for each indicators can be assessed on a quarterly basis and the value of the outcomes as depicted by the indicators, can be entered and plotted as outputs to see the trends for monitoring progress. An indicator overall risk rating is automatically calculated based on the average of the Risk Rating for the periodic progress.

Other general information

- ✓ Project Description
- ✓ Risk Assessment and Management Faced so far
- ✓ Risk Mitigation Measures
- ✓ Results Monitoring and Reporting
- ✓ Report Description
- ✓ Report Timing/Frequency
- ✓ Assumptions

11. Outputs from tool and analysis of results

Some tips for analyzing information include:

- Qualitative information
  - ➢ Identify categories, themes & data (this is called 'coding')
  - ➢ Interpret findings in relation to research question
  - ➢ Watch out for unintended results & data that does not fit your expectations
- Quantitative information
  - ➢ Calculate simple totals, averages, and percentages, and statistical tests (if appropriate)
- General
  - ➢ Check credibility, validity and reliability
  - ➢ Invite periodic external verification/evaluation

Once all the necessary information are entered, the last step will be to generate the outputs automatically by pressing the Generate Reports push button.
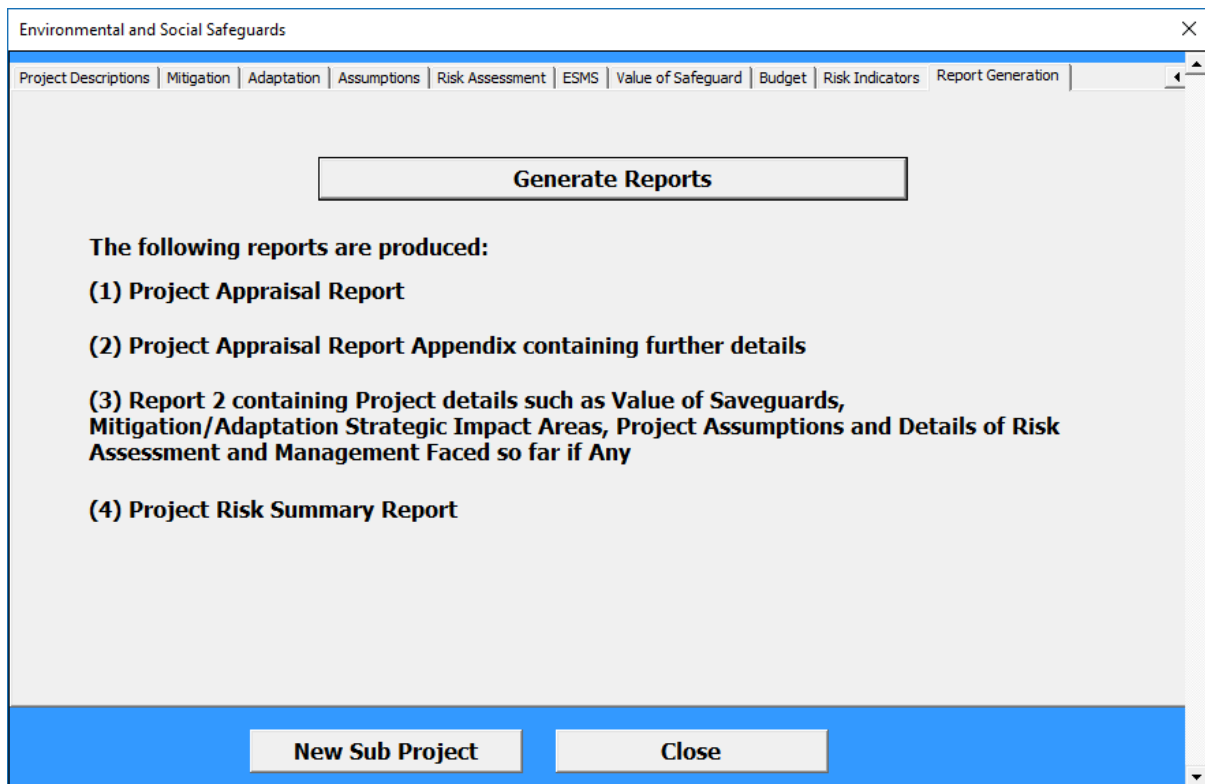
ESS Project Appraisal

This appraisal has info on:

- ✓ Project Identification
- ✓ Brief project description
- ✓ Focal area
- ✓ Budget (NAD)

- ✓ Location
- ✓ Performance Standards
- ✓ Potential Risks Identified
- ✓ Proposed Mitigation Measures
- ✓ Severity Rating, High, Moderate or Low
- ✓ Information/ Reference Sources

Some example outputs in the form of a report are provided below.

AR Appendix

Report 2 (General Report capturing most of the project details or features)

Appraisal report
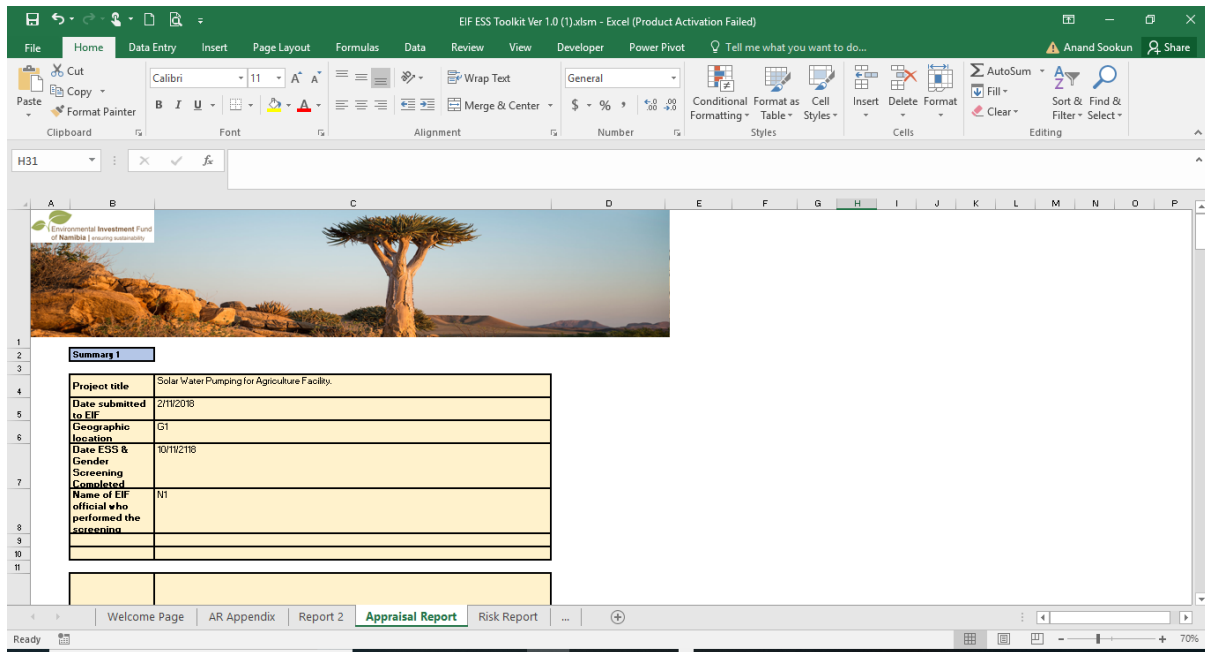
Summary 1

Project title	
Date submitted to EIF	
Geographic location	
Date ESS & Gender Screening Completed	
Name of EIF official who performed the screening	

Summary 2		
Performance Standards	**Overall PS Severity Rating (1: Highly Positive, 7: Highly Negative)**	**Information/ Reference/Sources**
Environmental Assessment		
Labor and working conditions of workers		
Measure resource efficiency and pollution prevention		
Community health, safety and security		
Avoid or minimise harm caused by land acquisition and involuntary resettlement		
Maintain biodiversity conservation and sustainable management of living natural resources		

Summary 2		
Performance Standards	**Overall PS Severity Rating (1: Highly Positive, 7: Highly Negative)**	**Information/ Reference/Sources**
Secure the rights of Indigenous Peoples		
Protect cultural heritage		

Risk Category	**Cross**	**Recommended Course of Action**
A		Proposed project activities are likely to cause significant adverse environmental and/or social risks/impacts that are diverse, irreversible or unprecedented. EIF does not support projects in this risk category.
B		Proposed project activities are likely to cause mild adverse environmental and social risks/impacts that are few in number, generally site-specific, largely reversible, and readily addressed through mitigation. Further environmental and social review was therefore undertaken. Mitigation and management measures proposed are summarised above while details are contained in the submitted EMP.

Risk Category	Cross	Recommended Course of Action
C		Project activities pose minimal or no adverse environmental or social risks/impacts. Project recommended for consideration. Complete screening report is attached.

Risk report

									Frequency
									Project Risk Indicators

Indicator Type	Name	Definition	Unit	Baseline	Midterm	Target	Overall Risk Rating	Data Source	Frequency Monitoring
Process Indicators	b1	c	m	21	31	51	5	Report 1	Quarter
Process Indicators	A1 and I1	FSDF	v1	50	70	101	4	Report 2	Semi-Annual
Performance Indicators	zczc	zczc	cm	50	70	100	2	Fsdfsf	Quarter

Case Study

The outputs below indicate potential results that can be worked out from the generated report.

Summary 1

Performance Standards	Significance Rating 1-7	Information/ Reference/Sources
Environmental Assessment	5	
Labor and working conditions of workers	4	
Measure resource efficiency and pollution prevention	6	
Community health, safety and security	5	
Avoid or minimise harm caused by land acquisition and involuntary resettlement	4	

Maintain biodiversity conservation and sustainable management of living natural resources	4	
Secure the rights of Indigenous Peoples	5	
Protect cultural heritage	3	

Significance Rating 1-7

Summary 2

Performance Standards	Potential Risks Identified (Indicators)	Proposed Mitigation Measures	Severity Rating High, Moderate or Low	Severity Rating High, Moderate or Low, Coded 1-3	Information / Reference Sources
Environmental Assessment	Impact on terrestrial and aquatic (includes marine)ecosystem, species, habitats and functions			3	
	Impact on landscape and soil			3	
	Borrowers and grantees understanding of legislative responsibility			3	
	Current level of compliance by proponents towards			2	

Summary 2

| Performance Standards	Potential Risks Identified (Indicators)	Proposed Mitigation Measures	Severity Rating High, Moderate or Low	Severity Rating High, Moderate or Low, Coded 1-3	Information / Reference Sources
	environmental legislations, e.g. Environmental Management Act of 2007				
	Allocation of responsibility for environmental management			3	
	Client awareness and implementation of climate change mitigation and adaptation measures.			3	
	Existence of a viable EMS and other sustainability mechanisms			2	
	Financial resources allocated to environmental management			2	
	Environmental capacity building			2	
	Exposure to extreme temperature fluctuations			3	
	Coastal Vulnerability			2	
	Sustainable us of natural resources			2	
	Equity of resources use			3	
	Other			3	
Labor and working conditions of workers	Fair treatment, non-discrimination, and equal opportunity of workers				
	Maintain, and improve the worker-management relationship				
	Protect workers, including vulnerable categories of workers such as children, migrant workers, workers engaged by third parties, and workers in the client's supply chain				
	Knowledge of international and national labour practices				
	Isolation from key essential services such as health,				

Summary 2

Performance Standards	Potential Risks Identified (Indicators)	Proposed Mitigation Measures	Severity Rating High, Moderate or Low	Severity Rating High, Moderate or Low, Coded 1-3	Information / Reference Sources
	schools, financial service providers, etc.				
	Occupational health measures integrated into the work environment				
	Conducive operational framework that promotes workers well being				
	Descent work principles (forced and child labour, social security, freedom of association, etc.)				
	Working hours and living conditions in commensurate with the Labour Act of 2010				
	Others				
Measure resource efficiency and pollution prevention	Efficiency of Water use				
	Efficiency of land use				
	Efficiency of energy use				

M&E	Indicator 1	Value for indicator 1	Indicator 2	Value for indicator 2	Indicator 3
	Base value	10	Base value	10	Base value

M&E	Indicator 1	Value for indicator 1	Indicator 2	Value for indicator 2	Indicator 3
	Mid term value	20	Mid term value	20	Mid term value
	Final target	30	Final target	30	Final target

Value for indicator 1
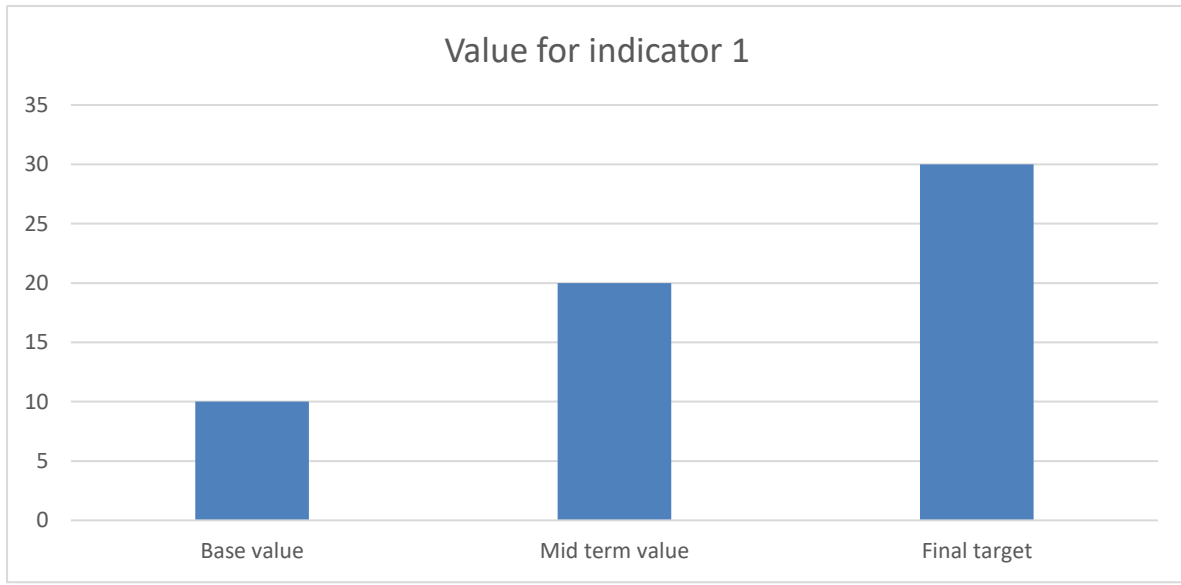
Indicator b1	Value of indicator b1	Risk rating for indicator b2	Indicator b2	Value of indicator b2
Q1	10	4	Q1	10
Q2	11	5	Q2	11
Q3	12	4	Q3	12
Q4	13	7	Q4	13
Q5	14	6	Q5	14
Q6	15	4	Q6	15
Q7	16	5	Q7	16
Q8	17	6	Q8	17
Q9	18	7	Q9	18
Q10	20	2	Q10	20
Q11	20	5	Q11	20
Q12	21	5	Q12	21
Q13	23	5	Q13	23

Q14	24	5	Q14	24
Q15	25	5	Q15	25
Q16	26	5	Q16	26
Q17	27	5	Q17	27
Q18	28	5	Q18	28
Q19	29	5	Q19	29
Q20	30	5	Q20	30

Indicator b1