



# ESS TOOLKIT

# **User Manual**



# **DECEMBER 1, 2018**

Prepared and Submitted by FPM Consulting Namibia, in association with SSS Mauritius and University of Mauritius

FPM Consulting Services Regi CC/2015003658

People. Earth. Sustainability.



# 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.

#### Copyright

#### ©2018 Environment Investment Fund of Namibia

All rights reserved. No part of this Guideline and/or Toolkit may be produced, stored in a retrieval system or transmitted, in any form or by any means, electronic, mechanical, photocopying, recording or otherwise without prior permission from the EIF. Results based on the use of the Toolkit must be duly acknowledged and referenced; the copyright holder's endorsement of Users' views, products or services shall not be implied in any way.

Environment Investment Fund	FPM Consulting Services Regi CC/2015003658 People. Earth. Sustainability.	\$35
Namibia	<b>*</b>	Soft Sustainable
8933 Heinitzburg Heights	EPM Consulting Services in partnership with Soft	Services BUSINESS REG No : 1 1,5006927
c/o Heinitzburg &	Sustainable Services (SSS)	Royal Road
Burg Street,	664 Bottlepalm Street, Dorado Park	Saint Julien D'Hotman
Klein Windhoek	PO Box 25988, Windhoek	Mauritius
Windhoek, Namibia	Email:	Email:
+264 61 431 7700	mwferddy@gmail.com	asookun@gmail.com
+264 61 240 339		
www.eif.org.na		

# Contents

1.	Introduction	3
2.	Overview of the EIF and the projects	3
3.	Environmental and Social Safeguards	4
3.1.	Performance Standards	4
Perfor	rmance Standards and Indicators	5
4.	ESMS	10
4.1.	Risks in ESS	10
5.	M&E frameworks	10
5.1.	Identifying what information you need to collect	11
5.2.	Indicators	12
6.	Value of Safeguards	16
7.	Budgets	16
8.	Risk Indicators	16
9.	Gender	16
10.	The ESS M&E Tool	17
11.	Outputs from tool and analysis of results	30

#### 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. <u>OVERARCHING (ESMS)</u>			
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. <u>SUBJECT SPECIFIC</u>			
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	e Standards and	their indicators
--------------------------	-----------------	------------------

Performance Standards	Risk Indicator	Mitigation Measures	Post Mitigation Impact Rating (1-7)	Reference
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			

			Post Mitigation	
Performance		Mitigation	Impact Rating	Reference
Standards	Risk Indicator	Measures	(1-7)	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	Fair treatment, non-			
working conditions of	discrimination, and equal			
workers	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			

			Post Mitigation	
Performance		Mitigation	Impact Rating	Reference
Standards	Risk Indicator	Measures	(1-7)	Sources
	Conducive operational	1		
	framework that promotes			
	workers well being			
	Descent work principles			
	(forced and child labour,			
	social			
	security, freedom of			
	Association, etc.)	+		1
	conditions in commensurate			
	with the Labor Act of 2010			
	Others			
PS 4 Measure			1	1
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			
	(SO2); Nitrogen dioxide			
	(NO2); Particulate matter			
	(PM10); Ozone (O3);			
	Benzene (Cono); Leau (ru)			
	Carbon monoxide (CO)			
	Air quality: GHG (CO2, etc)			
	Air quality: poise and dust	+		
	Water quality:	<u> </u>		<u> </u>
	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	Safeguarding of personnel			
and security	Polovant human rights			
	principles			
	Equitable access and use of			
	natural resource			
	Maintenance of ecosystem			
	services and goods			

			Post Mitigation	
Performance		Mitigation	Impact Rating	Reference
Standards	Risk Indicator	Measures	(1-7)	Sources
	Environmental health			
	standards (pollution,			
	degradation,			
	etc.)			
	Strengthening of community			
	integration			
	Emergence management			
	plans for social safety nets			
	Ethnic and racial			
	considerations			
	Corporate Social			
	General public sefety			
	monsures			
	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,			
	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	Protect and conserve			
resources	biodiversity			
	Maintain the benefits from			
	ecosystem services			

			Post Mitigation	
Performance		Mitigation	Impact Rating	Reference
Standards		Measures	(1-/)	Sources
	Sustainable management of			
	Inving natural resources			
	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			
	Equitable sharing of benefits			
PS 8 Protect cultural	from the use of cultural			
neritage	heritage			
	Respect and preserve the			
	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

Tuble 5: Scoring Suide	
<b>Overall Environmental</b>	
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<sup>1</sup> 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,

<sup>&</sup>lt;sup>1</sup>Monitoring and Evaluation for Sustainable Communities by <u>http://www.geog.ox.ac.uk/research/technologies/projects/monitoringandevaluation.html</u>.

- **4** Evaluate the extent to which project activities achieve the intended outcomes,
- ↓ Evaluate whether the project activities are timely delivered,
- **4** Determine factors that are hindering project implementation,
- **4** 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
<ul> <li>Energy consumption</li> <li>Water consumption</li> <li>Volume of waste disposal</li> <li>Emissions to air</li> <li>People displaced</li> <li>Wages paid</li> </ul>	<ul> <li>Percentage of workers trained on labor standards requirements</li> <li>Average time between communications from stakeholders and a response</li> <li>Procedures in place for handling, storage, and disposal of waste</li> </ul>

#### 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:

Specific,

Measurable,

Attainable, Accurate

Relevant and

Time-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.

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	<ol> <li>PERFORMANCE INDICATORS - PER</li> <li>Energy consumption</li> <li>Water consumption</li> <li>Volume of waste disposal</li> <li>Emissions to air</li> <li>People displaced</li> <li>Wages paid</li> </ol>	Users can select from either of the 2 types: PER or PRO

 Table 4: Indicator descriptions used in the tool

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: <i>GCF/B.20/Inf.01</i> , 28 <i>May 2018: Update on the further</i> <i>development of some indicators</i> <i>in the performance measurement</i> <i>frameworks</i> <sup>2</sup>	The EIF may use its own definition that can be adapted from other existing ones.				
Unit of Measurement	<ul> <li>This can be</li> <li>number, e.g. no. of beneficiaries, no. of males/females, etc;</li> <li>%, e.g. % of households</li> <li>Units specific to topics, e.g. tonnes of CO2 avoided, ha of land forested, etc</li> <li>etc</li> </ul>					
Method of Computation	This can be based on the data collection method and can be from references such as the GCF document: <i>GCF/B.20/Inf.01, 28</i> <i>May 2018: Update on the further</i> <i>development of some indicators</i> <i>in the performance measurement</i> <i>frameworks</i>	Measurements and testing, to understand resource or pollution levels. Visual observation, to observe work sites and other project activities.				

<sup>&</sup>lt;sup>2</sup> Available at: <u>https://www.greenclimate.fund/documents/20182/1087995/GCF\_B.20\_Inf.01\_-</u> Update on the further development of some indicators in the performance measurement frameworks.pdf/42a9ef fc-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,
- $\checkmark$  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?
- $\checkmark$  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

Fable 5: Core indicators to	be incorporated i	in the CRAVE
-----------------------------	-------------------	--------------

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

#### 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.

	EIF ESS Toolkit Final Ver 1.0.xlsm - Excel (Product Activation Failed)	⊞ –	o ×
File Home Data Entry Insert Page Layout Formulas Data	Review View Developer Power Pivot Q Tell me what you want to do	🛕 Anand Sookun	₽ Sh
$\begin{array}{c c} & & & \\ & & & \\$	Wrap Text     General       Merge & Center     \$ - % , \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$	Sort & Find & Filter * Select *	
Clipboard Fiel Font Fiel Alignmen	nt ra Number ra Styles Cells Edi	ting	^
			^
AB	C D E F G H I J K L M N O	P Q R	\$
Control of the second sec	EFFACTIVITIES  We come to this functionmental and factor laterappears (ECE) Monitoring and Example of the component of and the component of an example of the component		
n Project Code FP054 K Ready Melcome Page AR Appendix Appraisal Report Report 2	e blootde le Blo fuure to enable opdang of ES related ME. Risk Report     ⊕ :	·] ] = +	► + 62%

# Annotated step by step instructions

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

Environmental and Social Safegu	uards Descriptions   Mitigation   Adaptation   Assumptions   Pick Assessment   FSMS   Value of Saferuard   Budget   Pick Indicators   D	
Project Name Project Title Options to	FP054 1       Image: The second	o t for
select inputs Sub Project Title	Solar Water Pumping for Agriculture Facility.	ion
Project Start Project Size Thematic Area	2016Project End2022LargeProject Value (millions US\$)>250This box is gene automatically from Size box entreAdaptationSize box entre	rated Project 'Y
	New Sub Project Close	

The project details and information to be entered include:

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

- $\checkmark$  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.

	or @r <b>⊈</b> ∙	D 🗟 =												
	Home D	ata Entry In:	sert Page Layout Formul	is Data Review View Developer Power Pivot ${\mathbb Q}$ Tell me what you want to do	🛕 Anand Sookun	A Share								
📥 👌	6 Cut	Calibri			um * Av 🔘									
Pasta E	Сору т		Environmental and Social Safe	uards X	Sort R: Find R:									
v diste	🕈 Format Painter	BIU	Project Project Details Project	Descriptions   Mitigation   Adaptation   Assumptions   Risk Assessment   ESMS   Value of Safeguard   Budget   Risk Indicators   Report	Filter * Select *									
Cli	pboard I	s	(		Editing	~								
A	A B	C	Designet Name	FP023 1	L S T	U								
1	_		Project Name											
2				Climate Decilient Agriculture in three of the										
3			Project Title	Climate Resilient Agriculture in three of the Vulnerable Extreme porthern cron growing regions (crave)										
4	Welcome			valierable Extreme northern crop growing regions (crave)										
5		-												
0														
8														
9			-											
10				Solar Water Pumping for Agriculture Facility.										
11			Sub Project Title	Project Title										
12														
13														
14														
15			Project Start	2017 Project End 2022										
16			Design of Class	Derive this last										
17			Project Size	Micro Project Value <10										
18			Thomatic Area											
20			Thematic Area	Adaptation										
21														
22														
23				New Sub Project Close										
24														
25														
	Welco	me Page	roject Project Details	heet2 Budaet P1 Budaet P2 Budaet P3 Ot 🕀 🗄 🚺										
Ready	20				III	+ 1009								
ricady	-				4:26	PM								
	O Type here	e to search	Q I	i 📔 📲 🗶 🖉 🥵 뷳 🎚 🔊 🗉 📼 🥷 💻 🗑 🧭	🧧 🛍 🕼 🗤	/2018 22								

🖬 🐤 🕐 📽 🗈 🖻 🕏 🗧 ESS Toolkit, CRAVE V2.atsm - Excel (Product Activation Failed)															Ŧ	-	o ×		
File	Home	Data Ent		ert Pag	e Layout	Formulas	Data	Review	View	Developer	Power Pivot	♀ Tell me what	t you want to o				🛕 Anar	nd Sookun	€ Share
Paste V	K Cut E⊡ Copy → V Format	Cal Painter B	ibri IU-	Environn Project	nental and So Project Detail	ocial Safeguard	s riptions   Miti	gation   Ac	daptation	Assumptions	Risk Assessment   E	SMS Value of Safe	guard   Budget	t   Risk Indicators	Keport (	vtoSum I≁ ear≁	Sort &	Pind & Select ≠	
1	A	B	c						I	Project Si	ımmary					R	diting S	т	U
2 3 4 5 6 7 8 9 10 11 12 13	(we	Icome		Nu	umber of ] climate tablishe	males an -related d/strengt	d femal early wa hened	es read arning s	ched by system	y [or tota is and oth	geographic er risk redu	coverage ction measu	res						
14 15 16																			
17 18 19 20																			
21 22 23 24							New S	ub Proj	ject		Close				-				
25 Ready	•	Welcome Pa	ige P	roject	Project Deta	ails Sheet	2 Budg	et P1	Budget P	2 Budge	t P3   Ot	+ : •							+ 100%
	О Тур	e here to se	earch			Q H	PB		× 🛛 📕	۶	<b>û</b>	x <sup>A</sup> 🔒 📢	1 🗐 🔊		a 🛄 🐨		<u>e</u> %D	4:28 (11/26/	РМ 2018 🔁

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.

	و، دې د چ	- D 🖻 -						
	Home	Data Entry In	sert Page Layout Formulas	Data Review View Developer Power Pivot Q Tell me what you want to do	🛕 Anand Sookun	A₁ Share		
Paste	Cut	Calibri B I U	Environmental and Social Safegu	ds X .	Sort & Find &			
Ť.,	Tinhoard	-	Project   Project Details Project D	Criptions   Mitigation   Adaptation   Assumptions   Risk Assessment   ESMS   Value of Safeguard   Budget   Risk Indicators   Report	Filter * Select *			
1	A B	C	Project Base line	812233 R	S T	U		
3 4 5 6	Welco	me	Project Objectives	01srsr				
7								
8			Project Outcomes	01asdad				
9								
10			-					
11			Broject Impacts	I1add				
12			Project impacts					
14			-					
15			-					
16			Project Completion	Claddd				
17			Level					
18								
19								
20								
21								
22								
23				New Sub Project Close				
24				· · · · · · · · · · · · · · · · · · ·				
25								
	► W	elcome Page	Project Project Details She	t2   Budget P1   Budget P2   Budget P3   Ot 🕂 🗄 4		•		
Ready	87				η	+ 1009		
-	•				4:27	PM		
	O Type I	nere to search	Ų Ei	x' 😼 🚽 📕 🖉 🖉 🖉 🖉 🖉 🖉 🖉 🖉	· 연고 (19) 11/26/	/2018 🕐		

#### 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

		<b>m</b> –	o ×								
File	Home	Data Entry Ir	isert Page Layout Formu	las Data Revi	w View	Developer	Power Pivot	♀ Tell me what you want to do		🛕 Anand Sookun	A Share
Paste	K Cut Copy → Format Paint	Calibri B I U	Environmental and Social Safe	guards	n Adaptation	n l Accuptons	Risk Assessment   E	SMS   Value of Safeguard   Budget   Risk Indica	tors Report	* AZ▼ ↓ Sort & Find & Filter * Select *	
1 2	A B	C	Mitigation Strategic Impact Areas	Forest and	and use	Choose user wi	<del>e from the</del> no decides	options provided. Note in which option the pro	that it is the <sup>R</sup> ject fits best.	diting S	U A
3 4 5 6	Welcom		Indicative Activities	Capacity b through tra	ilding to ining and	foster gov i knowledg	ernment sup e-sharing.	port for policy reforms			
7 8 9			Project Outputs	More small,	medium	and large	low-emissio	n power suppliers			
10 11 12 13			Project Outcomes	Increased g in governm	ender-se ent	ensitive low	<i>i</i> -emission d	evelopment mainstreamed			
14 15 16			Project Impacts	Increased le	ow-emise	sion energy	access				
17 18 19 20				,							
21 22 23				New Sub	Project		Close				
24											
Ready	> Wel	come Page	Project Project Details	Sheet2 Budget P	1 Budge	et P2   Budge	t P3   Ot	÷ : •		і і Л =	+ 100%
	O Type he	re to search	Ū.	H 🛂 🗐	×∃	<mark>۶</mark>	Ĵ.	x <sup>2</sup> 😫 🐩 🗐 🔊 🖬 💷	<i>(</i> , <u>,</u>	■ №コ (1 <sup>30)</sup> 4:28 11/26,	PM /2018

# 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

🖬 ५४४ <b>४४</b> 🗅 🖻 🖛	T	– o ×			
File Home Data Entry Insert Page Lay	yout Formulas Data Review	View Developer Power Pivot	${\mathbb Q}$ Tell me what you want to do	🛕 Ana	nd Sookun 🛛 🎗 Share
A Cut Calibri Environmenta Paste ✓ Format Painter ✓ Format Painter	al and Social Safeguards	ptation Assumptions Risk Assessment	SMS   Value of Safequard   Budget   Bick Indic	× vtoSum * Z × v ators Report ( ← ear * Sort & Filter *	Find & Select *
Clipboard G A B C Adapta Strateg Impact	ation Health, food and t Areas	water security Choose user wh	from the options provided of the options of the option of the option of the option opt	ded. Note that it is the	e it.
4 Welcome Indicat 5 Activit	tive Train, share exp ies	eviences, revise/develop p	olicy/standards		
7 8 9 Project	Increased know	ledge of climate threats a	d coping mechanisms		
11 12 Project	Outcomes Strengthened go climate-respons	overnment institutional an ive development planning	l regulatory systems for		
15 Project	t Impacts Increased resilie people, commun	ence and enhanced liveliho ities, and regions	ods of the most vulnerable		
19 20 21					
22 23 24	New Sub Proj	ect Close		•	
25					
Welcome Page Project Project	ect Details Sheet2 Budget P1 B	Budget P2   Budget P3   Ot	: •     :     : •     :		•
Type here to search	0 🗄 📴 💌 x	1 <mark>2</mark>	x <sup>c</sup> 👒 👫 🗐 🔊 🗖		4:29 PM 11/26/2018 €2

# Assumptions tab

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

⊟		s - D 🖻														
File	Home	Data Entry	Insert	Page Layout	Formulas	Data	Review	View	Developer	Power Pivot	♀ Tell me what you want to do		🛕 Anan	d Sookun	₽ Share	
Paste	Cut Copy - Format Pa Clipboard	Calibri ainter B I	Env U · Proj	ironmental and s	Social Safeguar ils   Project Des	ds criptions   I	Mitigation   A	daptation	Assumptions	Risk Assessment   I	ESMS   Value of Safeguard   Budget   Risk I	→ toSum × + ndicators   Report ( ←	Sort & Filter *	Pind & Select ≠		
1 2 3 4 5 6 7 8	A	B C		A1				Gen	eral Proje	ct Assumpti	ons		S	T		
9 10 11 12 13 14 15 16																
17 18 19 20 21 22 23 24						New	Sub Pro	oject		Close						
25	►   V	Velcome Page	Project	Project De	tails Shee	et2   Bu	dget P1	Budget I	P2 Budget	P3   Ot	÷ : •					÷
Ready	о Туре	here to searc	h		0 Ħ	PB		x 🛛 🔒	L	ĵ.	r 😒 👬 🗐 🔊 🖪			り (11/26/	- + 1009 PM 2018 (2)	6

#### **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 Safeguards X
Project   Project Details   Project Descriptions   Mitigation   Adaptation   Assumptions Risk Assessment   ESMS   Value of Safeguard   Budget   Risk Indicators   Report 🔃
Details of Risk Assessment and Management Faced so far if Any
Technical Operational Financial Social and Environmental Others
Details
01
Actions Initiated
0A1
New Sub Project Close

# 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

E	5-0-2-	D 🗟 =	ESS	polkit CRAVE V2.xlsm - Excel (Product Activation Failed)	æ	-	o ×
Fil	e Home D	ata Entry Ins	sert Page Layout Formulas Data Review	View Developer Power Pivot Q Tell me what you want to do	🛕 Anan	d Sookun	A Share
Past	K Cut E Copy → • ✓ Format Painter	Calibri B I U -	Environmental and Social Safeguards Project Project Details Project Descriptions Mitigation	idaptation   Assumptions   Risk Assessment   ESMS   Value of Safeguard   Budget   Risk Indicators   Report ( Far-	um * AZY Sort & Filter * 3	Find & Select *	
	Clipboard	3	Project Identification Uncertainty & Assumptions Project	Performance Standards   Overall PS Ratiings   Project Risk Category	Editing		^
1	АВ	С	Project Title	Solar Water Pumping for Agriculture Facility.	<b>₹</b> \$	T	
3 4	Welcome	1	Date submitted to EIF	D1 (DD/MM/YYYY)			
5 6			Geographic location	G1			
7 8 9			Date ESS & Gender Screening Completed	DE1 (DD/MM/YYYY)			
10 11 12			Name of EIF official who performed the screening	N1			
13 14			Focal Area	F1			
15			Budget (US\$)	B1			
17			Location	11			
18 19							
20							
21							
23			New Sub P	oject Close			
24							
25							
	<ul> <li>Welco</li> </ul>	me Page P	Project Project Details Sheet2 Budget P1	Budget P2   Budget P3   Ot 🕂 : 📢			•
Read	y 🛅				<b>—</b> –	- 1	+ 100%
-	O Type here	e to search	Q 🗮 📴 🕅	x] 😕 🔜 👘 😵 😵 👘 📈 🚺	🧧 🐑 🛛	5:49 I	2018 2

#### **Uncertainty and Assumptions tab**

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

Environmental and So	cial Safeguards									×						
Project Project Details Project Identification	Project Descriptions Uncertainty & Assumpt	Mitigation   ions   Proje	Adaptation ct Performanc	Assumptions	Risk Assessment	ESMS Proje	Value of Safeguard	Budget	Risk Indicators	Report 🗾						
Uncertain	nation Gaps			O	Others ass											
🗹 Unpre	edictable Futu	e														
- Assumptio	ons															
<b>⊠ Same</b>	as screening a	nd hold	ing true		Oth	ers				_						
<b>∀</b> Greate	er lack of infor	mation	indicate	s greate	r risk	<b>SA</b>										
Contin ☑ activit any ch	uously monito y and adjust p anges	r implei lans and	mentation d action	on of the s to refle	ect											
	Nev	/ Sub Pi	roject		Close											

#### **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.

Environmental and Social Safeguards	×
Project   Project Details   Project Descriptions   Mitigation   Adaptation   Assumptions   Project Identification   Uncertainty & Assumptions   Project Performance Standards   C Performance S	Risk Assessment ESMS Value of Safeguard Budget Risk Indicators Report
Environmental Assessment Potential Risk Identified (Type of Risk) Severity R	Several Potential risk Identified can be inserted by clicking next PRI and going back Next Previous
Proposed Mitigation Measures m1  Low Automatically based on Signif Mitigation Impact Rating 1	y generated ficance of Risk Significance of Risk Likelihood Frequency Intensity Manag • Low How often will the activity that creates the risk or • Moderate impact occur?
Information/ Reference Source r2 New Sub Project	Close

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.

Environmental and Social Safeguards	×
Project         Project Details         Project Descriptions         Mitigation         Adaptation         Assumptions         Risk Assessment         ESMS         Value of           Project Identification         Uncertainty & Assumptions         Project Performance Standards         Overall PS Ratings         Project Risk Ca	Safeguard   Budget   Hisk Indicators   Report (
Overall PS Severity Rating (1: Highly Positive, 7: Highly Negative)	
Environmental Assessment	4 -
Labor and working conditions of workers	4
Measure resource efficiency and pollution prevention	Automatically generated
Community health, safety and security	from the averaging of the
Avoid or minimise harm caused by land acquisition and involuntary resettlement	Project performance standards in the previous
Maintain biodiversity conservation and sustainable management of living natural resources	2 -
Secure the rights of Indigenous Peoples	2 -
Protect cultural heritage	3 -
New Sub Project Close	▼

# **Project Risk Category**

Project       Project Details       Project Descriptions       Mitigation       Adaptation       Assumptions       Risk Assessment       ESMS       Value of Safeguard       Budget       Risk Indicators       Report         Project Identification       Uncertainty & Assumptions       Project Performance Standards       Overall PS Ratings       Project Risk Category         Risk Category       A	4
Risk Category A -	
Recommended Course of Action       ARR11	
Conclusion	
C11	
New Sub Project Close	

# Value of safeguards

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

_ <b>⊟</b> 5 *	e 🖁 🗸	D 🗟 =											
File H	lome Da	a Entry In:	ert Page Layout	Formulas	Data	Review	View	Developer	Power Pivot	♀ Tell me what you want to do	🛕 Anan	ıd Sookun	A Share
Paste V Fo Clipboz	rmat Painter	Calibri B I U	Environmental and Project   Project Det Value to	alls Project Descr	iptions   Miti	gation   Ad	laptation	Assumptions   I	Risk Assessment   I	SSMS Value of Safeguard Budget   Risk Indicators   Report I	Sum * AZY Sort & Filter * Editing	Find & Select *	*
1 2 3 4 5 6	Welcome		Involv Prote Preve	Activity ve local peo ct rights to ent environn	ple as p natural nental d	roject resour egrada	benefic ces and ation	ciaries d other ri	ghts	Rating Moderate • Low • Low •			
7 8 9 10 11 12 13			Value to Preve Avoid	Project De Activity nt conflict v project del	veloper: vith con ays and	s nmunit increa	ies sed co:	sts		Rating Low • High •			
14 15 16 17 18 19 20			Avoid	reputation	al dama	ge				Medium			
21 22 23 24 25					New S	ub Proj	ject		Close				
· · ·	Welco	ne Page	roject Project D	etails Sheet	2 Budg	et P1	Budget P	2 Budget	t P3 Ot	÷ : •	1		> 1000
	Type here	to search		Q Ħ	P		× 🛛 🔰	R.	Ĵ.	en e		く (小) 5:51 (11/26/	PM 2018

# 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.

Environmental and Social Safegua	rds					×
Project   Project Details   Project Det Cost Components   Overall Cost	scriptions   Mitigation   Ad	aptation   Assum	ptions   Risk Assessment	:   ESMS   Value of S	afeguard Budget Risk Indica	tors   Report 🔄
		Project C	omponent Det	ails		
Component Title	C1					
		Next	Previous	Add	Delete	
	Project	Componen	it Budget Detai	ils (US\$)		
Budget Allocate	ed t)	Budg	et Used		Available Budge	et
3300	-	300			3000	_
	New Sub Proj	ject	Close			•
Environmental and Social Safegua	rds					×
Project   Project Details   Pr	scriptions   Mitigation   Ad	aptation   Assum	ptions   Risk Assessment	:   ESMS   Value of S	afeguard Budget Risk Indica	tors Report
	Project Fi	nancial Co	sts (Where app	licable) (US\$	5)	
Total Approve	ed Budget	465613				
Budget Alread	ly Granted	5254				
		460350				
Budget Availa	DIE	100333				
Others						
Co-Financing	Amount	21				
Grants (Other	·s)	21				
Loans		12				
	New Cole D		cl-			
	New Sub Proj	ect	Close			-

#### **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.

Environmental and	d Social Safe	guards						×
Project Project De	tails Project	Descriptions   Mitigation	on   Adaptation   Assu	mptions   Risk Assessment	ESMS Value of Safegu	uard   Budget	Risk Indicators	Report
Activity an	d Indica	tor Name	ators	•				
b1					- Indicators Next	:	Previous	
Indicator	Definitio	on			Add		Delete	
C				Automatical	y Progress –	Quarte	<b></b>	
Baseline	21		Overall Risk	Rating 5	Period	1	<b>_</b> 1	- -
Midterm	31				Value	35		
Target	Dat	a Source			Risk	7		•
Report1					Rating	1		
		New Sub	Project	Close				Ŧ

#### 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.

Environmental and Social Safeguards					×								
Project Descriptions   Mitigation   Adaptation	Assumptions   Risk Assessment	ESMS Value of Safeguard	Budget   Risk Indicator	s Report Generation	<u> </u>								
	Ger	ierate Reports											
The following reports are produced:													
(1) Project Appraisal Report													
(2) Project Appraisa	Report Appendix co	ntaining further de	etails										
(3) Report 2 contain Mitigation/Adaptatio Assessment and Man	(3) Report 2 containing Project details such as Value of Saveguards, Mitigation/Adaptation Strategic Impact Areas, Project Assumptions and Details of Risk Assessment and Management Faced so far if Any												
(4) Project Risk Sum	mary Report												
Ne	w Sub Project	Close											

#### **ESS Project Appraisal**

This appraisal has info on:

- ✓ Project Identification
- ✓ Brief project description
- $\checkmark$  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)

	<b>৲</b> ় ্	· D B	÷				EIF ESS To	olkit Ver '	1.0 (1).xlsm - E	xcel (Produc	t Acti	vation Faile	d)								æ	-	٥	×	l
File	Home	Data Entry	Insert	Page Layout	Formulas	Data	Review	View	Developer	Power P	ivot		me what y							4	Anano	d Sookun	۶Ŗ	share	
Paste	👗 Cut 🗈 Copy 👻 ؇ Format Pair	Calibr nter B 1	. <u>U</u> ≁  ⊞	• 11 • A*	_ ≡ ≡ : • ≡ ≡ :	- ≫·- 	🔐 Wrap Te 🔛 Merge 8	d Center	General	• • 0. .00 -	• ***	Conditional cormatting •	Format Table	is Cell Styles *	Ensert	Delete	Format	t ₹	AutoSu Fill + Clear +	im * i S	iort & I	Pind & Select *			
C	lipboard	5	Font		G.	Alignm	nent		G NL	mber	G.		Styles			Cells				Editin	g			-	1
A17	* 1	× v	$f_{x}$																						ļ
	Environmental Invi of Namibia   ensure	estment Fund	в		c	X		E	F	G	н	1	J	κι	м	N	0	Р	Q	R	\$	т	U	v	
2 Proje	ct Title:				Climate Vulnerable Extre	Resilient Agricultur me northern crop g	re in three of the growing regions (	crave).																	
4 Proje	ct Subtitle:				Solar Va	er Pumping for Ag	griculture Facility.																		
6																									
7 Proje	ct Summary:			Num of] climate-related	ber of males and f early warning syste	emales reached by πs and other risk r	J [or total geograj reduction measur	ohic coveraj es establish	ge ied/strengthened.																
10		1	Budget Compo	onent Titletal A	proved Budg	Budget Grant	ted Availa	ble Budge	et i																
12			C2		50000	3500		46500																	
13			C3 C4		400000 12313	1000 454	3	99000 11859																	
16		r	Tota	1	465613	5254	4	60359																	
17																									
18		Value	to Communiti	Value	of Safeguard	V	alue to Proje	ot Devel	opers															_	
Invo	ive local peopl	e as project	natural resou	inces and env	ironmental	Prevent conflict	t with dela	a project	reputatio	nal														_	
20	Deneficiar	ies		pondix Po	nort 2	communitie	s Pick	Poport		-					_					: 4					ì
1	- VV	elcome Pagi	е   акар	pendix Ke	port 2 A	praisal Repo		Report		T								CTTP:		: •					
Ready	1										_							Ħ	E	Ш	-		+	62%	Í

# Appraisal report

₿	<b>গ ় ্ব ং</b>	DB	÷				EIF ESS T	oolkit Ver 1.	0 (1).xlsm -	Excel (Produc	t Acti	vation Faile	d)							m	-	٥	×
File	Home Dat	a Entry	Insert	Page Layout	Formulas	Data	Review	View	Developer	Power P	ivot		ne what yo							🛕 Anar	nd Sookun	₽ Shar	re
Paste	K Cut E Copy → ✓ Format Painter Clipboard ਯ	Calibri B I	⊔ -   ⊞ Font	11 × A A × Δ × Δ ×		Normalization of the second secon	Wrap Te Merge &	ext & Center 👻	General \$ - 9 5 N	6 ? 5:0 -	* 60 F	Conditional Formatting ▼	Format as Table + Styles	Cell Styles +	E Insert	Delete Čells	Format	∑ Au ↓ Fill Cle	toSum * ar * Ec	Sort & Filter *	Find & Select +		^
H31	▼ : >	< 🗸	f <sub>x</sub>																				^
1 2 3 4 5 6 6 8 9 10 11	A B Contract fragment for Contract fragment for Contract fragment for Contract fragment Contract fragment Contract for Contract for Co	Solar V4 27/1/2016 G1 10/1/211 N1	ater Pumping 3	for Agriculture Facilit								Ε	F	6	н	1	L	κ	L	M	N   C	) P	
Ready		le rage	ANAPI	pendix   Repo	пе арр	аза керо	NISK	Report		÷	_							Ⅲ [	; ( 3) (2)	· 0	1	+ 7	70%

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		

Г

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.
В		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
с		Project activities pose minimal or no adverse environmental or social risks/impacts. Project recommended for consideration. Complete screening report is attached.

# Risk report

<b>₽ 5</b> • ∂~3	・ 👌 💲 🗋 🚊 🍦 EIF ESS Toolkit Ver 1.0 (1).xlsm - Excel (Product Activation Failed)									<b>⊡</b> –	o ×
File Home	Data Entry Insert Page L	ayout Formulas D	ata Review View D	eveloper Pow	ver Pivot ♀ Te	ell me what you v	vant to do		A	Anand Sookun	A Share
Paste Clipboard	ainter G $Font$ $G$	A <sup>*</sup> A <sup>*</sup> ≡ ≡ × A × ≡ ≡ ≡ <sub>1</sub>	Wrap Text           Image: Wrap Center           Image: Wrap Center           Alignment	General \$ - % * Number	Conditio Formattin	nal Format as ng * Table * St Styles	Cell Insert	Delete Format Cells	AutoSum * / Fill * S Clear * F Editing	ort & Find & ilter * Select *	^
E67 *	: × ✓ fx										^
-	A	B	c	4 D	E	F	a	7	8	j j	· · · · · · · · · ·
	Environmental Investment Fund [87] of Namibia Bia Assessment Summary Report										
2				Project Ri	sk Indicators			1			
3	Indicator Type	Name	Definition	Unit	Baseline	Midterm	Target	Overall Risk Rating	Data Source	Frequency Monitoring	
4	Process Indicators	ь1	c	m	21	31	51	5	Report1	Quarter	-
5	Process Indicators	A1 and I1	FSDF	v1	50	70	101	4	Report2	Semi-Annual	-
6	Performance Indicators	zozo	zozo	om	50	70	100	2	fsdfsf	Quarter	-
< > V	Welcome Page AR Appendix	Report 2 Appraisa	Report Risk Report .	(+)					: •		•
Ready 🔠				_							- + 60%

Project Risk Indicators									
Indicator Type	Nam e	Definitio n	Uni t	Baselin e	Midter m	Targe t	Overa II Risk Rating	Data Source	Frequenc Y Monitorin g
Process Indicators	b1	с	m	21	31	51	5	Report 1	Quarter
Process Indicators	A1 and I1	FSDF	v1	50	70	101	4	Report 2	Semi- Annual
Performan ce 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.

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	



Performance Standards	Potential Risks Identified (Indicators)	Propose d Mitigatio n Measure s	Severity Rating High, Moderat e or Low	Severity Rating High, Moderat e or Low, Coded 1- 3	Information / Reference Sources
Environment al 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	

Performance Standards	Potential Risks Identified (Indicators)	Propose d Mitigatio n Measure s	Severity Rating High, Moderat e or Low	Severity Rating High, Moderat e 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 Exposure to extreme temperature fluctuations			2	
	Coastal Vulnerability Sustainable us of natural			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,				

Performance Standards	Potential Risks Identified (Indicators)	Propose d Mitigatio n Measure s	Severity Rating High, Moderat e or Low	Severity Rating High, Moderat e 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				

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

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



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

