**Annex D**

**Environmental, Gender and Social Standards (EGSS) Checklist**

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| **General information:** | | | |
| Project title: |  | | |
| Project number: |  | | |
| Applicant/Contact person(s): |  | | |
| Location (Global/regional/country): |  | | |
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| **Guidance:** | | | |
| This EGSS Checklist must be thoroughly considered during programme/project planning and design in order to ensure compliance with the Environmental, Gender and Social Impact Management (EGSIM) Manual. Please read the EGSIM Manual carefully as it provides further information concerning the respective processes per size, modality and type; and kindly note the cross-references in this checklist to the EGSIM Manual.[[1]](#footnote-1)  Please note that all relevant information on potential environmental, gender and social risks and adverse impacts, as well as on risk mitigation and management must be integrated into the programme/project document and taken into due account when developing the logframe, monitoring plan and budget. It must be ensured that ample institutional capacities and financial resources for mitigation measures, monitoring and related management actions are considered.  Although the EGSS Checklist primarily serves as a guidance tool during the planning and design of the programme/project, the ADA still requires it to be filled in. The EGSS Checklist must be submitted together with the grant application form (short version) or programme/project concept note for information; or with the full proposal for funding modalities that do not foresee the submission of concept notes or short versions ahead of the full proposal (i.e. CSO co-financing, business partnerships).  Important Considerations:  It is not necessary to fill in the EGSS Checklist if an environmental, gender and social impact assessment has already been carried out for the intervention or for specific components thereof (e.g. by a co-financing partner). The documents related to the environmental, gender and social impact assessment (i.e. ToRs, studies and reports, risk management and sustainability plan, etc.) should be made available to the ADA, however. A summary of the results of the(se) assessment(s) should be included in the programme/project document. | | | |
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| **Overarching Policies and Principles[[2]](#footnote-2)** | | | |
| **Environmental sustainability** | | **Answer** Yes/No/NA[[3]](#footnote-3) | **Comments** (optional)[[4]](#footnote-4) |
| E.1. Is the programme/project in line with obligations and commitments made under Multilateral Environmental Agreements (MEAs)?[[5]](#footnote-5) | |  |  |
| E.2. Does the programme/project take into account environmentally relevant national laws and regulations and is it in line with, national and local environmental goals, programmes and priorities? (Inclusive of ensuring any necessary environmental permits for the intervention are planned / obtained) | |  |  |
| E.3. Is there a likelihood that the programme/project has adverse environmental impacts? (Please also take the cumulative environmental impacts into consideration)[[6]](#footnote-6) | |  |  |
| E.4. Are the potentially positive contributions and benefits of the programme/project to environmentally sustainable development fully considered and actions in support of such contributions foreseen? | |  |  |
| E.5.1. Does the programme/project partner/local partner(s) dispose over adequate capacities on environmental protection and climate action? | |  |  |
| E.5.2. Are accompanying measures foreseen in order to promote environmental awareness and knowledge and to enable the local partners/parties to impart knowledge that they have acquired? | |  |  |
| E.6. Are the costs for measures related to environmental integration, including those for awareness raising and training, as well as for monitoring and evaluation, adequately provided for in the budget plan? | |  |  |
| E.7. Are the necessary indicators for monitoring positive/negative environmental effects clearly defined? | |  |  |
| **Gender equality and empowerment of women and girls** | | **Answer** Yes/No/NA | **Comments** (optional) |
| G.1. Is the programme/project in line with the main gender equality and women’s rights treaties, conventions, action plans and recommendations? | |  |  |
| G.2.1. Has a gender analysis (GA) been carried out assessing in relation to the issue(s) addressed by the programme/project:   * the current state of the situation of women/girls and men/boys incl. sex disaggregated data; * the different needs and priorities of women/girls and men/boys; * gender disparities and inequalities; its causes, effects and impact? | |  |  |
| G.2.2. Have the results of the GA been integrated in all programme/project documents, in particular are gender disparities/inequalities part of the problem analysis? | |  |  |
| G.2.3. Is sex disaggregated data (men/women) included in the programme/project document, in particular in the background information, problem analysis and baselines? | |  |  |
| G.2.4. Have the results of the GA been integrated into the logframe through making the indicators on impact, outcome and output level gender-sensitive? Are the indicators requiring sex-disaggregated data? | |  |  |
| G.2.5. Have the results of the GA been used to design concrete measures aiming at reducing gender disparities and inequalities? | |  |  |
| G.2.6. Are the costs for these measures as well as for monitoring adequately considered within the programme/project budget? | |  |  |
| G.2.7. Have, as applicable, National Gender Mechanisms (e.g. women’s ministries, national women’s council), women’s civil society organisations, or women/girls in the target region of the programme/project been involved in the design of the programme/project? | |  |  |
| G.3.1. Is there a risk that men/boys and women/girls can NOT equally   * participate in implementing the programme/project? * access and benefit from the opportunities of the programme/project? | |  |  |
| G.3.2. Is there a risk that the programme/project would have adverse and discriminatory impacts on gender equality and/or the empowerment of women and girls? | |  |  |
| G.3.3. Is there a risk that the programme/project potentially limits women’s ability to access, use, develop and protect (natural) resources, land and services taking into account different roles and positions of women and men in accessing land, (environmental) goods and services? | |  |  |
| G.3.4. Is there a risk that the programme/project increases the occurrence for gender based violence incl. sexual harassment? | |  |  |
| G.3.5. Is there a risk that respective accountability measures are not accessible? | |  |  |
| G.4.1. Does the programme/project partner/local partner(s) dispose over adequate capacities on gender, promotion of gender equality, women’s and girls’ rights and women’s empowerment? | |  |  |
| G.4.2. Are accompanying measures foreseen in order to strengthen gender capacities and to enable the local partners/parties to impart knowledge that they have acquired? | |  |  |
| **Human rights and social standards** | | **Answers**  Yes/No/NA | **Comments** (optional) |
| S.1. Is the programme/project in line with the main human rights treaties and relevant social policies at the respective country, at regional (organisation) or at international level? | |  |  |
| S.2. Could the programme/project result in adverse impacts or further marginalization and vulnerability of all people affected by the programme/project (direct and indirectly)? | |  |  |
| S.3. Could the programme/project potentially restrict availability, accessibility, affordability and quality of programme-/project relevant resources or basic services, particularly for marginalized and vulnerable people?[[7]](#footnote-7) | |  |  |
| S.4.1. Is there a likelihood that programme/project stakeholders, particularly marginalized and vulnerable people, have limited access to programme-/project relevant information? | |  |  |
| S.4.2. Is there a risk that programme/project stakeholders, particularly marginalized and vulnerable people, are excluded from programme-/project relevant accountability mechanism and procedures? | |  |  |
| S.5. Is there a likelihood that any potentially affected stakeholders, particularly marginalized and vulnerable people, are excluded from participation in decisions that may affect them? | |  |  |
| S.6. Is there a risk that the programme/project exacerbates conflicts among and/or the risk of violence to individuals and communities? | |  |  |
| S.7. Is there a risk that rights-holders, particularly marginalized and vulnerable people, do not have the capacity to claim their rights? | |  |  |
| S.8.1. Does the programme/project partner/local partner(s) dispose over adequate capacities on human rights and social standards/inclusion? | |  |  |
| S.8.2. Are accompanying measures foreseen in order to promote knowledge on human rights and the human right-based approach as well as on social policies and social inclusion and to enable the local partners/parties to impart knowledge that they have acquired? | |  |  |
| S.9. Does the programme/project engage security personnel that may pose a potential risk to human rights? | |  |  |
| S.10. Are social disaggregated data (i.e. in terms of age, ethnicity, disability status etc.) available?  If not, is the collection of social disaggregated data foreseen? | |  |  |
| S.11. Are the costs for social inclusion/equality measures as well as for capacity development and monitoring adequately considered within the programme/project budget? | |  |  |

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| **Standards[[8]](#footnote-8)** |  |  |
| **Biodiversity conservation and sustainable natural resource management** | **Answer** Yes/No/NA | **Comments** (optional) |
| B&NRM.1. Would the programme/project potentially cause adverse impacts to habitats and/or ecosystems and ecosystem services? |  |  |
| B&NRM.2. Was the local environmental situation critically examined and were potential negative environmental effects of the programme/project regarding the quality and availability of, or access to natural resources (such as water, soil, forest, flora, fauna, etc.) well considered? |  |  |
| B&NRM.3. Is the programme/project located within or nearby to critical habitats and/or environmental sensitive areas, including protected areas or areas proposed for protection?[[9]](#footnote-9) |  |  |
| B&NRM.4. Does the project pose a risk to the degrading of soils? (physical, biological and chemical factors due to desertification, deforestation, land degradation, erosion, improper land use from improper agricultural and pasture uses, soil fertility and nutrient loss, etc.) |  |  |
| B&NRM.5. Would programme/project activities pose risks to endangered species? |  |  |
| B&NRM.6. Would the programme/project pose a risk of introducing invasive alien species? |  |  |
| B&NRM.7. Does the programme/project involve changes to the use of lands and natural resources, including significant extraction, diversion or containment of surface or ground water, that may have adverse impacts on habitats, ecosystems, and/or livelihoods? |  |  |
| B&NRM.8. Does the programme/project involve agricultural or livestock production or harvesting of natural forests, plantation development, or reforestation? |  |  |
| B&NRM.9.1. Does the programme/project involve the utilization of genetic resources (e.g. collection and/or harvesting, commercial development of natural resources)?[[10]](#footnote-10) |  |  |
| B&NRM.9.2 Is the collection of natural resources conducted in a sustainable manner and are the benefits deriving from their utilization shared in a fair and equitable manner? |  |  |

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| **Climate Action** | **Answer** Yes/No/NA | **Comments** (optional) |
| CA.1.1. Will the programme/project activities cause significant (above average) additional Greenhouse Gas (GHG) emissions? |  |  |
| CA.1.2. Are measures foreseen to reduce either existing or potential GHG emissions? |  |  |
| CA.2.1. Does the programme/project take into account projected environmental and socioeconomic impacts caused or aggravated by the effects of climate change? |  |  |
| CA.2.2. Does the programme/project reduce the vulnerability of targeted populations and promote adaptation (capacities) and where applicable resilience to the impacts of climate change? |  |  |
| CA.3. Is the information on the identified adaptation needs based on a climate vulnerability assessment? |  |  |

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| **Pollution prevention and resource efficiency** | **Answer** Yes/No/NA | **Comments** (optional) |
| P&R.1.1. Does the programme/project include activities that require an above average consumption of raw materials, energy, and/or water? |  |  |
| P&R.1.2. Are resource efficiency (RE) and/or pollution prevention measures foreseen? (This includes RE measures in project offices) |  |  |
| P&R.2. Would the programme/project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts? |  |  |
| P&R.3.1. Will the programme/project potentially involve the production, transportation, handling, storage, use of and/or disposal of hazardous chemicals and/or materials? |  |  |
| P&R.3.2. If yes, has the use of less hazardous substitutes been taken into account? |  |  |
| P&R.4.1. Would the programme/project potentially result in the generation of significant amounts of waste (both hazardous and non-hazardous)? |  |  |
| P&R.4.2. If so, has a waste management strategy or a waste management plan been prepared? |  |  |
| P&R.5. Will the programme/project involve the application of pesticides that may have a negative effect on the environment, natural resources or human health? |  |  |
| **Community health, safety and working conditions** | **Answer** Yes/No/NA | **Comments** (optional) |
| HS&W.1. Are there any risks and adverse impacts to community health, safety and security which may arise from programme/project related activities (such as constructions, use of equipment and technology, transport, storage, and use and/or disposal of hazardous or dangerous materials)? |  |  |
| HS&W.2. Could the programme/project result in increased health risks for programme/project stakeholders and beneficiaries (e.g. from exposure to water-borne or water-related diseases and communicable infections, pollution, etc.)? |  |  |
| HS&W.3. Does the programme/project involve support for employment or income-generation activities that may fail to comply with national and international labour standards (i.e. principles and standards of ILO’s fundamental conventions)?[[11]](#footnote-11) |  |  |
| HS&W.4. Could the programme/project be prone or lead to increased vulnerability to earthquakes, collapsing, landslides, erosion, flooding or extreme climatic/weather conditions? |  |  |
| **Cultural heritage** | **Answer**  Yes/No/NA | **Comments** (optional) |
| CH.1. Is there a risk that the programme/project has adverse impacts on sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? |  |  |
| CH.2. Is there a risk that programme’s/project’s stakeholders, particularly marginalized and vulnerable people, have limited access to cultural heritage? |  |  |
| CH.3. Is there a risk that programme’s/project’s stakeholders, particularly marginalized and vulnerable people, are excluded from benefit-sharing from the use of tangible and/or intangible forms of cultural heritage? |  |  |
| **Displacement and Resettlement** | **Answer**  Yes/No/NA | **Comments** (optional) |
| D&R.1. Would the programme/project potentially involve temporary or permanent and full or partial physical displacement? |  |  |
| D&R.2. Is there a risk that the programme/project possibly result in economic displacement, e.g. loss of assets or access to resources due to land acquisition of restriction in access) – even in the absence of physical relocation?[[12]](#footnote-12) |  |  |
| D&R.3. Is there a likelihood that the programme/project possibly affects land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources? |  |  |
| D&R.4. Is there a risk that affected stakeholders, particularly marginalized and vulnerable individuals or groups, are not involved in consultation and decision-making processes related to land? |  |  |

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| **Indigenous people[[13]](#footnote-13)** | **Answer**  Yes/No/NA | **Comments** (optional) |
| IP.1. Is there a risk that the programme/project affects the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples?[[14]](#footnote-14) |  |  |
| IP.2. Is there a likelihood that the principle of free, prior and informed consent on matters affecting indigenous people will not be applied? |  |  |
| IP.3. Is there a likelihood that the programme/project would exclude any indigenous people, particularly indigenous women and other marginalized groups, from fully participating in decisions that may affect them? |  |  |
| IP.4. Will the proposed programme/project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples? |  |  |

1. <https://www.entwicklung.at/fileadmin/user_upload/Dokumente/Publikationen/Handbuecher/Environmental_and_Social_Impact_Management/EGSIM_Manual_Juni2018.pdf> [↑](#footnote-ref-1)
2. Please refer to the EGSIM Manual (pages 4 – 7) for more in-depth explanations. [↑](#footnote-ref-2)
3. NA – not applicable [↑](#footnote-ref-3)
4. This section could be used for providing further information, if necessary, e.g. for argumentation why specific aspects are not taken into account. [↑](#footnote-ref-4)
5. Please refer to the EGSIM Manual page 6 for a listing of the MEAs. [↑](#footnote-ref-5)
6. Cumulative environmental impacts can be defined as effects on the environment which are caused by the combined results of past, current and future activities, whether by individual or collective actions. [↑](#footnote-ref-6)
7. In general, different social groups – e.g. poor households, indigenous people, ethnic or religious minorities, children, youth, persons with disabilities, elderly, displaced persons etc. – might be characterised as vulnerable, if being at higher risk of being subject to discriminatory practices, violence, natural or environmental disaster, or economic hardship than other groups within the state or at higher risk in periods of conflict and crisis. Vulnerable people might also be marginalized in a given country, but not necessarily.

   As there are different definitions of vulnerable people depending on the respective country, the respective country characterization of vulnerable people applies. [↑](#footnote-ref-7)
8. Please refer to the EGSIM Manual (pages 8-18) for more in-depth explanations. [↑](#footnote-ref-8)
9. For example, areas of extreme water deficiency, areas prone to bush or forest fires, high erosion risks, wetlands or flood plains, important water catchment or recharge areas, areas of high biodiversity, areas where natural resources are a particular source of conflict, etc. [↑](#footnote-ref-9)
10. Nagoya Protocol on Access and Benefit Sharing (<https://www.cbd.int/abs/doc/protocol/nagoya-protocol-en.pdf>) and International Treaty on Plant Genetic Resources (http://www.fao.org/3/a-i0510e.pdf) [↑](#footnote-ref-10)
11. It must be noted that at first national standards apply. If there are huge differences to international standards, it is necessary to address relevant improvements of the national standards, where feasible. [↑](#footnote-ref-11)
12. Interventions that may result in physical or economic displacement will be classified as high risks and will be subject to an Environmental, Gender and Social Impact Assessment (EGSIA). [↑](#footnote-ref-12)
13. As outlined in the EGSIM Manual the terms indigenous people is used in a generic sense to refer exclusively to a distinct social and cultural group, due to self-identification as a member, or collective attachment to a geographically distinct habitat, or distinct cultural, economic, social or political institutions, or distinct language or dialect. ADA recognizes that indigenous people may be named differently in different countries, such as indigenous ethnic minorities, aboriginals, hill tribes, tribal groups, pastoralists etc. (for further reference see EGSIM, page 17f). [↑](#footnote-ref-13)
14. If the answer to this screening question is “yes”, the potential risk impacts are considered potentially severe and/or critical and the programme/project would be categorized as either moderate or high risk. [↑](#footnote-ref-14)