

PROJECT CONCEPT PRELIMINARY QUESTIONNAIRE	
PART I: GENERAL INFORMATION	
Interested Organization Name:	Project Location:
Projected amount of required project funding (\$ /USD):	
TOTAL: _____ GEF: _____ OTHER(S) (Specify) _____	
Project Sector or Similar:	Brief project description:
GEF focal Area(s):	Project Duration (months):

Focal Area Strategy Framework (other Program strategies)		
Objectives / Programs (Focal areas, Others)	GEF Project Financing (USD)	Co- Financing (USD)

Project Description Summary (Please include available information)				
Project Component	Project Outcomes	Project Outputs	GEF Project Financing (USD)	Co- Financing (USD)
Project cost (No project Management included)				

Indicative Sources of Co-financing (Please include available information, comprised type of co-financing: grants, loans, equity, guarantees, in-kind, unknown )

Source of co-financing	Name of co-financer	Type of co-financing)	Amount (USD)
Total co-financing			

Potential Environmental Impacts	
<p><b>Air emissions</b></p> <p><input type="checkbox"/> Vehicles and equipment</p> <p><input type="checkbox"/> Heating /air conditioning equipment</p> <p><input type="checkbox"/> Others (describe) _____</p> <p>_____</p> <p>_____</p>	<p><b>Waste water</b></p> <p><input type="checkbox"/> Domestic waste water</p> <p><input type="checkbox"/> Water treatment unit</p> <p><input type="checkbox"/> Others (describe) _____</p> <p>_____</p> <p>_____</p>
<p><b>Solid waste</b></p> <p><input type="checkbox"/> Solid waste produced</p> <p><input type="checkbox"/> Types of solid waste _____</p> <p>_____</p> <p>_____</p> <p><input type="checkbox"/> Hazardous waste _____</p> <p>_____</p> <p>_____</p> <p><input type="checkbox"/> Waste disposal (where, how)_____</p> <p>_____</p> <p>_____</p>	<p><b>Hazardous Chemical substances / Combustibles / Pesticides</b></p> <p><input type="checkbox"/> Storage within the facilities</p> <p><input type="checkbox"/> Protective measures against spills</p> <p><input type="checkbox"/> Leaks / spills traces</p> <p><input type="checkbox"/> Spill containment / cleanup equipment</p> <p><input type="checkbox"/> Heating /air conditioning equipment</p> <p><input type="checkbox"/> Chemical substances and combustibles management training _____</p> <p>_____</p> <p>_____</p> <p><input type="checkbox"/> Pesticide use and Management</p>
<p><b>Resource consumption</b></p> <p><input type="checkbox"/> Materials used _____</p> <p>_____</p> <p>_____</p> <p><input type="checkbox"/> Renewable natural resources use</p> <p><input type="checkbox"/> Tools and equipment use</p> <p><input type="checkbox"/> Water source _____</p> <p>_____</p>	<p><b>Environmental nuisances</b></p> <p><input type="checkbox"/> Dust</p> <p><input type="checkbox"/> Noise</p> <p><input type="checkbox"/> Odors</p> <p><input type="checkbox"/> Vapors / fumes</p> <p><input type="checkbox"/> Noise</p> <p><input type="checkbox"/> Traffic jams and obstructions</p>

<input type="checkbox"/> Energy source _____ _____	
<b>Other Environmental Issues</b>	
<input type="checkbox"/> Impacts on health, and forest quality and natural habitats in general (rivers, lakes, aquifers, paramo, ocean/marine ecosystems, mangroves, wetlands, biodiversity, among others), Please specify on which one(s) _____ _____	
<input type="checkbox"/> Impacts on health protected areas (parks, reservoirs, etc.) Please specify on which one(s) _____ _____	
<input type="checkbox"/> Impacts on other singular / sensible / high value (scientific, landscape, traditional, others) / places, Please specify on which one(s) _____ _____	
<b>Interactions with the Community</b>	
<input type="checkbox"/> With a person in charge of answering community questions <input type="checkbox"/> With Community complaints management procedure <input type="checkbox"/> Safety personal use	
<b>Social Issues</b>	
<input type="checkbox"/> Land acquisition required <input type="checkbox"/> Resettlement of local communities is required <input type="checkbox"/> Impacts on local livelihoods <input type="checkbox"/> Impacts on Indigenous Peoples <input type="checkbox"/> Neighbors or community complaints <input type="checkbox"/> Cultural Resources to be affected or close to project location. <input type="checkbox"/> Dams involved in Project <input type="checkbox"/> Pesticides to be used Land property condition, Please specify (public property, private property, community property, others) _____ _____	

<b>Questionnaire answer date:</b>
<b>Questionnaire answer responsible officer:</b>
<b>Additional comments:</b>

<b>CAF Environmental and Social Officer / National expert Preliminary concept related to project site conditions and potential project impacts</b>	
<b>Questionnaire answer date:</b>	<b>Additional technical review required (to be answered by CAF):</b> <input type="checkbox"/> Yes <input type="checkbox"/> No
<b>Questionnaire answer responsible officer (name, position):</b>	
<b>Environmental considerations and recommendations</b>	
<b>Community considerations and recommendations</b>	

<b>Other social considerations and recommendations</b>
<b>Additional comments:</b>

PART II: ENVIRONMENTAL AND SOCIAL SAFEGUARDS TRIGGERING				
Q	Question	Yes	No	Comment
	<b>ENVIRONMENTAL AND SOCIAL ASSESSMENT (ESA)</b>			
	<b>Safeguard always applicable (at least preliminary environmental and social assessment)</b>			
1	<p>Considering the following variables of the project, is there a possibility that the project will generate environmental and social side, multiple and complex impacts? If the answer is no, please briefly justify.</p> <p>(a) The potential environmental and social impacts that the project may have on its area of direct influence and, when required, indirect, cumulative and similar impacts;</p> <p>(b) The impacts on physical physical, biotic, social, economic, cultural resources, and health and safety of people;</p> <p>(c) Global environmental problems;</p> <p>(d) The alternatives to improve the selection, location, planning, design and execution of the project, including the "without project" as well as capital and recurrent costs and the comparison of the</p>			

	<p>environmental benefits and costs of the project;            (e) The design of measures to prevent, mitigate and / or compensate the identified impacts, including the use of positive impacts and other opportunities that may be identified by both the project itself and by the communities affected by the project.            (Probable category A)</p>			
2	<p>Considering the project variables described above in Question 1, is there a possibility that the project will generate environmental and social impacts that although they are not classified as moderate, adverse, multiple and complex, they can be significant? If the answer is no, please briefly justify.            (Probable category B)</p>			
3	<p>Considering the project variables described above in Question 1, is there a possibility that the project will generate low environmental and social impacts that can be prevented, mitigated or compensated on the basis of best environmental practices and engineering, along with measures environmental management widely known and accessible? If yes, please briefly justify.            (Probable category C)</p>			
4	<p>Can the project be included in any of the following groups?            (I) projects related to excavation, demolition, earthwork, flood or other significant environmental changes;            (Ii) projects located on a site with physical cultural resources, or in their area, and recognized by the proponent.            (Iii) projects specifically designed to support the management or conservation of physical cultural resources.            If yes, please document the relevant requirements of national legislation, your procedures to identify, mitigate and monitor impacts on physical cultural resources, and a procedure for handling chance findings).            (Probable category A or B)</p>			
5	<p>Is there a possibility that the project will generate potential or significant conversion or degradation of critical forest or other natural habitats?            (Probable category A)</p>			

6	Is there a possibility that the project violates environmental legal framework in force in the country, and / or applicable international agreements or conventions? (Probable unacceptable project)			
7	Does the organization, in its activities and projects, extend to its contractors and third parties its Policy Commitments and Programs in Environmental and Social Management, and Health and Safety?			
<b>Environmental and Social Assessment (ESA) Practices</b>				
8	Does the organization carry out a process of Social and Environmental Assessment that considers holistically the potential social and environmental impacts of its activities and projects (including labor, health and safety)?			
9	Does the ESA identifies individuals or groups as vulnerable or disadvantaged, and are proposed and implemented for them differentiated measures?			
<b>Environmental and Social Management Plan (ESMP) and Action Plans</b>				
10	For its activities and projects, does the organization establish and implement a plan / program of measures and mitigation and performance improvement that addresses the environmental and social impacts and consider the major findings of the ESA and the result of the consultation with affected communities?			
11	Does the ESMP defines the desired outcomes as measurable events (performance indicators, targets or acceptance criteria), with estimation of resources and responsibilities for implementation?			
12	Has the organization allocated sufficient resources to implement the ESMP?			
13	Has the organization planned and implemented the action plans necessary to comply with regulations and applicable Performance Standards?			
<b>Participation and involvement of stakeholders</b>				
14	Has the organization properly identified all the relevant stakeholders for their activities?			
15	Have these stakeholders played a part in planning their activities or services?			
16	Does the organization have a community engagement process for the benefited / affected communities?			
17	Does such process guarantee free, prior and informed participation to communities?			
18	Has the organization implemented a complaints			

	mechanism for addressing and responding to communities?			
<b>External Communications and Grievance Mechanisms</b>				
19	Has the company implemented procedures for external communications?			
20	Has the company established a complaints mechanism to receive and facilitate resolution of the concerns of the communities on environmental and social performance of their activities?			
<b>Continuous report to affected communities</b>				
21	Does the company provide periodic reports to the communities that describes its activities that involve 1. risk or impact running or developing communities; and 2. the consultation or complaints mechanism?			
<b>Q</b>	<b>Question</b>	<b>Yes</b>	<b>No</b>	<b>Comment</b>
<b>NATURAL HABITATS AND FORESTS</b>				
<b>Safeguard triggering conditions</b>				
1	Do the design and development of the project include the conservation or sustainable use of natural habitats or the maintenance of the ecological functions of natural habitats?			
2	Do the design and development of the project include the rehabilitation/reforestation of degraded natural habitats?			
3	Do the activities and development of the project may eventually cause impacts on the health and quality of forest and natural habitats in general (rivers, lakes, aquifers, moors, ocean / marine ecosystems, mangroves, wetlands, biodiversity, etc.)?			
4	Do the activities and development of the project may affect the rights and welfare of people depending on forests or interacting with them?			
5	Do the activities and development of the project may generate changes in management, protection and use of natural or planted forests, whether they are public, private or community property?			
6	Is there any possibility that access to information and knowledge about project impacts on natural habitats prevent that such information and knowledge become complete or conclusive? (UNFEASIBLE PROJECT)			
7	Does the project include forest plantations or any other			



	activity that involves a significant degree of conversion or degradation of critical habitats or critical wooded areas? (UNFEASIBLE PROJECT)			
8	Does the project include forest plantations or any other activity that involves a significant degree of conversion or degradation of critical habitats or critical forest areas or forests and natural habitats that are not critical, and it is foreseen to implement an alternatives study? (CONDITIONALLY FEASIBLE PROJECT)			
9	Does the organization have implemented Procedures or Guidelines for the Management of Environmental and Social impacts related to natural habitats or forest?			
10	Have the organization designated responsible officers (employees or consultants) for the Environmental and Social Management of its activities and projects related to natural habitats or forests? Describe briefly			
<b>Q</b>	<b>Question</b>	<b>Yes</b>	<b>No</b>	<b>Comment</b>
<b>INVOLUNTARY RESETTLEMENT</b>				
<b>Safeguard triggering conditions</b>				
1	<p>Considering the activities that:</p> <ul style="list-style-type: none"> <li>i) Are directly or indirectly related to the project; (ii) are required to achieve the objectives of the evaluation; and (iii) are conducted or planned to be held concurrently with the project;</li> </ul> <p>During the project development, any of the following cases of involuntary taking of lands is foreseen?</p> <ul style="list-style-type: none"> <li>(i) displacement or loss of shelter</li> <li>(ii) loss of assets or access to those assets</li> <li>(iii) loss of income sources or means of livelihood, whether the person concerned is forced to move elsewhere or not.</li> <li>(iv) Loss of social networks in the local environment that may be sources of consumer goods for exchange by non-financial mechanisms (such as barter, gifts exchange and other) or loss of safety networks?</li> </ul>			
2	<p>Considering the activities that:</p> <ul style="list-style-type: none"> <li>i) Are directly or indirectly related to the project; (ii) are required to achieve the objectives of the evaluation; and (iii) are conducted or planned to be held concurrently with the project;</li> </ul> <p>During the project development, involuntary</p>			

	restriction of access to parks and protected areas legally established is foreseen?			
3	Does the environmental assessment of the project envisage the development of alternatives analysis, and that analysis includes the verification of the measures to prevent and minimize, to the extent possible, involuntary resettlement? (MANDATORY CONDITION IN CASE OF SAFEGUARD APPLICABILITY)			
	<b>Other Ones</b>			
4	Does the organization have implemented Guidelines or Procedures for the Management of Environmental and Social impacts related to involuntary resettlement?			
5	Have the organization designated responsible officers (employees or consultants) for the Environmental and Social Management of its activities and projects related to involuntary resettlement? Describe briefly			
6	Can displacement be avoided?			
7	Will displacement be physical?			
8	Will Land rights or land use rights be acquired through expropriation or other compulsory procedures in accordance with the legal system of the host country?			
9	Will Land rights or land use rights be acquired through negotiated settlements with property owners or those with legal rights to the land if failure to reach settlement would have resulted in expropriation or other compulsory procedures?			
10	Will displacement be economic?			
11	Will the project situations where involuntary restrictions on land use and access to natural resources cause a community or groups within a community to lose access to resource usage where they have traditional or recognizable usage rights?			
12	Will certain project situations requiring evictions of people occupying land without formal, traditional, or recognizable usage rights?			
13	Because of the project, there will be restriction on access to land or use of other resources including communal property and natural resources such as marine and aquatic resources, timber and non-timber forest products, freshwater, medicinal plants, hunting and gathering grounds and grazing and cropping areas?			
14	<b>Is the Involuntary Resettlement Safeguard triggered?</b>			

Q	Question	Yes	No	Comment
<b>INDIGENOUS PEOPLES</b>				
<b>Safeguard triggering conditions</b>				
1	Is it anticipated that there is presence of indigenous peoples in the area of project development or in its area of influence?			
2	Are there indigenous peoples with community links to the project area, whether it is the project development area or its area of influence?			
3	Does the planned project involve the physical relocation of Indigenous Peoples or restriction of access of Indigenous Peoples to parks and protected areas legally established? (CONDITION THAT TRIGGERS THE INVOLUNTARY RESETTLEMENT SAFEGUARD, IN ADDITION TO THAT OF INDIGENOUS PUEBOS).			
<b>Other ones</b>				
4	Does the organization have implemented Guidelines or Procedures for the Management of Environmental and Social Impacts relating to indigenous peoples?			
5	Has the organization designated responsible officers (employees or consultants) for the Environmental and Social Management of its activities and projects related to indigenous peoples? Describe briefly			
Q	Question	Yes	No	Comment
<b>PEST MANAGEMENT</b>				
<b>Safeguard triggering conditions</b>				
1	Does the project include potential aspects of control and management of pests or vectors, which may affect agriculture or public health?			
<b>Other ones</b>				
2	Does the organization have implemented Guidelines or Procedures for the Management of Environmental and social impacts related to managing pests or vectors?			
3	Has the organization designated responsible officers (employees or consultants) for the Environmental and Social Management of its activities and projects related to pest or vectors management? Describe briefly			
Q	Question	Yes	No	Comment
<b>PHYSICAL CULTURAL RESOURCES</b>				
<b>Safeguard triggering conditions</b>				
1	Is it anticipated that project includes major activities excavations, demolition, earthworks, floods or other			

	alterations to the landscape?			
2	Is it anticipated that project is located in a place where there are physical cultural resources recognized by the competent authorities or where they are expected to be found?			
3	Is it anticipated that the project is aimed at supporting the management of Physical Cultural Resources?			
	<b>Other ones</b>			
4	Does the organization have implemented Guidelines or Procedures for the Management of Environmental and social impacts on physical cultural resources?			
5	Has the organization designated responsible officers (employees or consultants) for the Environmental and Social Management of its activities and projects related to Physical Cultural Resources? Describe briefly.			
<b>Q</b>	<b>Question</b>	<b>Yes</b>	<b>No</b>	<b>Comment</b>
	<b>SAFETY OF DAMS</b>			
	<b>Safeguard triggering conditions</b>			
1	Is it anticipated that the project involves the construction of a new (s) dam (s) or the rehabilitation or performance of a (n) existing dam (s)?			
2	Is it anticipated that the project involves the rehabilitation or performance of (an) existing dam (s). NOTE: THIS INCLUDES THE USE OF WATER FROM AN (S) DAM (S).			
3	Is it anticipated that the project includes power plants or water supply systems that benefits directly from a reservoir controlled by an existing dam or construction?			
4	It is anticipated that the project includes diversion dams or hydraulic structures downstream from an existing dam or a dam under construction that due to failure of a dam upstream could cause extensive damage to or failure of the new structure that is part of the project?			
5	Do you anticipate that the project includes works or irrigation activities or water supply that depends on the storage capacity and performance of an existing dam or a dam under construction, and that any dam failure will cause project failure?			
6	Is it anticipated that the project includes increasing the capacity of an existing dam or changes in the characteristics of materials, whereas a failure of the existing dam could cause extensive damage or deterioration of facilities that are part of the project?			

	<b>Other ones</b>			
7	Does the organization have implemented Guidelines or Procedures for the Management of Environmental and Social impacts related to dam safety?			
8	Has the organization designated responsible officers (employees or consultants) for the Environmental and Social Management of its activities and projects related to dam safety? Describe briefly.			
<b>Q</b>	<b>Question</b>	<b>Yes</b>	<b>No</b>	<b>Comment</b>
<b>GENDER MAINSTREAMING</b>				
<b>Safeguard always applicable</b>				
1	Has there been any assessment or analysis of gender in relation to the possible roles, benefits, impacts and risks that can generate the project for women and men of different ages, ethnicities, state and social structure?			
2	Does the organization have implemented Guidelines or Procedures for the Management of Environmental and social impacts related to mainstreaming gender issues?			
3	Has the organization designated responsible officers (employees or consultants) for the Environmental and Social Management of its activities and projects related to mainstreaming gender issues? Describe briefly.			