ANNEX 3

Environment and climate change screening

The environmental and climate change-related screening is designed to support, during the action preparation phase, the preliminary assessment of environmental and climate aspects related to the action and to determine the steps to be taken during formulation to address those aspects. It helps determine if a given EU international cooperation and development action is likely to have a significant adverse impact on the environment or is at significant risk from climate change. In such case a more detailed analysis of its environmental and/or climate change implications may be required in the form of either a Strategic Environmental Assessment (SEA), an Environmental Impact Assessment (EIA) and/or a Climate Risk Assessment (CRA).

This annex provides the screening template for SEA (Part A), for EIA (Part B) and for CRA (Part C), together with the summary of the environmental and climate change screening to be submitted to the QSG (Part D). The Appendices provide sources of information on adaptation and climate change impacts (Appendix A) and examples of adaptation measures (Appendix B).

The Summary of the Environmental and Climate-related Screening Outcomes (Part D) must be completed at the end of the identification phase, annexed to the Initial Action Document and submitted to QSG1 (as part of the questionnaire 'Assessment of cross-cutting issues'). Any possible update or amendment to the answers, particularly to the concluding questions, should be annexed to the full Action Document in QSG2.

Do I need to screen for SEA, EIA and/or CRA?

The first step is to determine the relevant instrument, based on the nature of the action (budget support or project).

SEA screening is the appropriate tool for environmental integration if:

- Sector budget support will be provided in the form of a Sector Reform Contract (SRC); or
- In case of a project, the project will provide support to the sector at a strategic level. Support is considered to be at a strategic level when: support is provided to the development/revision of the sector's policy, regulatory and/or institutional framework, and/or foresees the implementation (or sets the framework for the implementation of) multiple projects that may have significant cumulative impacts on the environment (e.g. multiple infrastructure projects or multiple projects that require land use change or intensive use of natural resources).

EIA and CRA screenings are required for all projects.

EIA is never relevant to budget support programmes; however, both SEA and EIA may be relevant to projects. In the latter, this occurs because a project may include a combination of strategic level support and other types of interventions/ investments with potentially direct impacts on the environment.

PART A. SEA SCREENING

SEA screening is used to identify the need and relevance of carrying out a detailed assessment of the environmental implications associated to a government's sector policy, plan or programme (*strategic document*) with the objective of enhancing the environmental performance of the sector strategy and of the EU programme/project that will support its implementation.

It is recommended that the SEA screening and, more importantly, the SEA study are prepared in close coordination with the partner government and other donors involved in the sector. Joint SEAs should be promoted whenever possible.

An SEA will allow the identification of opportunities for the sector policy/programme/strategy to:

- Give an adequate response to environmental and climate change challenges that impinge on sector performance;
- Avoid or minimise adverse environmental impacts associated to its implementation; and
- Integrate opportunities for the sector to contribute to low carbon development and/or the green economy and enhanced environmental sustainability.

The SEA screening consists of a screening list and a questionnaire.

When should I screen for SEA?

An SEA allows identifying opportunities to enhance a sector's environmental performance. For this reason, it is highly recommended that SEA screening takes place during **programming**. This way we ensure that the potential environmental implications of the whole sector support are jointly taken into account.

If SEA screening did not take place during programming, or if it is advisable to repeat the process (e.g. due to new developments, uninformed prior screening), SEA screening should be carried out during **identification**. In this

case, it is important to take into account not only the potential environmental implications of the programme/project under consideration, but also those of other programmes/projects offering support to the same sector.

An SEA is required in the following cases:

1. When budget support will be provided to environmentally sensitive sectors (see list below);
2. When the project is providing strategic level support to an environmentally sensitive sector, or the project is supporting the implementation of a large part of the national sector strategy;
3. In the case of non-environmentally sensitive sectors, for:
    a. budget support programmes that will be supporting sector strategies likely to result in significant adverse impacts on the environment or whose effectiveness and sustainability may be affected by adverse environmental trends, as determined by the SEA screening questionnaire (below);
    b. projects providing strategic level support, or supporting the implementation of a large part of the national sector strategy.

(*If a recent SEA of the government's sector strategy has already been prepared (either by the Government, the EU or another donor), and the scope of the analysis and results are considered relevant and of satisfactory quality, the exercise can be limited to reviewing the findings of the SEA and integrating them into the EU's support programme/projects;*

If one of the activities of a project consists in developing/revising a sector policy/strategy in an environmentally sensitive sector, then an SEA may be included as part of that specific activity to support the policy-making/planning process, and reflected in the corresponding Action Document. The SEA would then be prepared during implementation).

SEA screening list of environmentally sensitive sectors

The following sectors of cooperation are considered as 'environmentally sensitive':

- Agriculture, rural development and food security;
- Energy;
- Water and sanitation;
- Infrastructure;
- Transport;
- Private sector development;
- Natural resources management (including forestry, fisheries and waste management).

SEA screening questionnaire

For non-environmentally sensitive sectors, an SEA is, in principle, not required. However, particularities of the sector in the country/region of concern, as well as of the sector policy/programme/strategy to be supported, may indicate the need for preparing an SEA.

Positive replies to any of the following questions would indicate the need for preparing an SEA:

1. Does the state of the environment have a significant adverse influence on the performance of the sector (e.g. significant school drop-out rates associated to depletion of natural resources, significant incidence of water or air pollution on health);

2. Does the achievement of the programme/strategy objectives directly and significantly depend on the availability of scarce natural resources?;

3. Is the implementation of the sector programme/strategy likely to result in large-scale land use change?;

4. Is the implementation of the sector programme/strategy likely to include a large number of Category A or B projects that could interact to produce significant cumulative environmental impacts? (e.g. roads, water impoundments, energy production facilities);

5. Is the implementation of the sector programme/strategy likely to promote large-scale use of environmentally damaging substances? (e.g. large scale use of insecticides for mosquito control, use of herbicides for water weed control).

PART B. EIA SCREENING

An EIA is required for all projects, or individual interventions within a project, that are likely to have a significant environmental impact on the environment, as determined by the screening process.

An EIA is required for:

- Any intervention which requires an EIA according to national regulations or to standards of co-donors;
- Any Category A intervention;
- Any Category B intervention that is likely to have a significant impact on the environment based on the criteria defined below.

Category A interventions that always require an EIA

1. Construction of lines for long-distance railway traffic and of airports with a basic runway length of 2,100 metres or more;

2. Construction of motorways and express roads;

3. Construction of a new road of four or more lanes, or realignment and/or widening of an existing road of two lanes or less so as to provide four or more lanes, where such new road or realigned and/or widened section of road would be 10 km or more in a continuous length;

4. Inland waterways and ports for inland-waterway traffic, which permit the passage of vessels of over 1,350 tonnes;

5. Trading ports, piers for loading and unloading connected to land and outside ports (excluding ferry piers) which can take vessels of over 1,350 tonnes;

6. Thermal power stations and other combustion installations with a heat output of 300 MW or more;

7. Large-scale industrial installations;

8. Waste disposal installations for the incineration, chemical treatment or landfill of hazardous waste;

9. Waste disposal installations for the incineration or chemical treatment of non-hazardous waste with a capacity exceeding 100 tonnes per day;

10. Groundwater abstraction or artificial groundwater recharge schemes where the annual volume of water abstracted or recharged is equivalent to or exceeds 10 million cubic metres;

11. Works for the transfer of water resources between river basins where:

    a. that transfer aims at preventing possible shortages of water and where the amount of water transferred exceeds 100 million cubic metres/year;

    b. the multi-annual average flow of the basin of abstraction exceeds 2,000 million cubic metres/year and where the amount of water transferred exceeds 5% of that flow;

    In both cases transfers of piped drinking water are excluded.

12. Waste water treatment plants with a capacity exceeding 150,000 population equivalent;

13. Dams and other installations designed for the holding back or permanent storage of water, where a new or additional amount of water held back or stored exceeds 10 million cubic metres;

14. Pipelines with a diameter of more than 800 mm and a length of more than 40 km:

    a. For the transport of gas, oil, chemicals;

    b. For the transport of carbon dioxide (CO_2) streams for the purposes of geological storage, including associated booster stations;

15. Installations for the intensive rearing of poultry or pigs with more than:

    a. 85,000 places for broilers, 60,000 places for hens;

    b. 3,000 places for production pigs (over 30 kg); or

    c. 900 places for sows;

    d. Construction of overhead electrical power lines with a voltage of 220 kV or more and a length of more than 15 km;

    e. Installations for storage of petroleum, petrochemical, or chemical products with a capacity of 200,000 tonnes or more;

16. Any change to or extension of interventions listed in this screening list where such a change or extension in itself meets the thresholds, if any, set in this list.

Category B interventions that may require an EIA based on selection criteria

1. Agriculture, sylviculture and aquaculture:

    a. Projects for the restructuring of rural land holdings;

    b. Projects for the use of uncultivated land or semi-natural areas for intensive agricultural purposes;

    c. Water management projects for agriculture, including irrigation and land drainage projects;

    d. Initial afforestation and deforestation for the purposes of conversion to another type of land use;

    e. Intensive livestock installations (non-Category A interventions);

    f. Intensive fish farming;

    g. Reclamation of land from the sea;

2. Energy industry:

a. Industrial installations for the production of electricity, steam and hot water (non- Category A interventions);
b. Industrial installations for carrying gas, steam and hot water; transmission of electrical energy by overhead cables (non-Category A projects);
c. Surface storage of natural gas;
d. Underground storage of combustible gases;
e. Surface storage of fossil fuels;
f. Industrial briquetting of coal and lignite;
g. Installations for hydroelectric energy production;
h. Installations for the harnessing of wind power for energy production (wind farms);

3. Chemical industry (non-Category A interventions):

a. Treatment of intermediate products and production of chemicals;
b. Production of pesticides and pharmaceutical products, paint and varnishes, elastomers and peroxides;
c. Storage facilities for petroleum, petrochemical and chemical products;

4. Food industry:

a. Manufacture of vegetable and animal oils and fats;
b. Packing and canning of animal and vegetable products;
c. Manufacture of dairy products;
d. Brewing and malting;
e. Confectionery and syrup manufacture;
f. Installations for the slaughter of animals;
g. Industrial starch manufacturing installations;
h. Fish-meal and fish-oil factories;
i. Sugar factories;

5. Infrastructure projects:

a. Industrial estate development projects;
b. Urban development projects, including the construction of shopping centres and car parks;
c. Construction of railways and intermodal transhipment facilities, and of intermodal terminals (non-Category A interventions);
d. Construction of airfields (non-Category A interventions);
e. Construction of roads, harbours and port installations, including fishing harbours (non-Category A interventions);
f. Inland-waterway construction (non-Category A), canalisation and flood-relief works;
g. Dams and other installations designed to hold water or store it on a long-term basis (non-Category A interventions);
h. Tramways, elevated and underground railways, suspended lines or similar lines of a particular type, used exclusively or mainly for passenger transport;
i. Installations of long-distance aqueducts;

j. Coastal work to combat erosion and maritime works capable of altering the coast through the construction, for example, of dykes, moles, jetties and other sea defence works, excluding the maintenance and reconstruction of such works;

k. Groundwater abstraction and artificial groundwater recharge schemes (non-Category A);

l. Works for the transfer of water resources between river basins (non-Category A);

6. Other projects:

   a. Installations for the disposal of waste (non-Category A interventions);

   b. Waste-water treatment plants (non-Category A interventions);

   c. Sludge-deposition sites;

   d. Storage of scrap iron, including scrap vehicles;

7. Tourism and leisure:

   a. Marinas;

   b. Holiday villages and hotel complexes outside urban areas and associated developments;

   c. Permanent campsites and caravan sites;

8. Any change or extension of Category A interventions, or interventions under this list, already authorised, executed or in the process of being executed, which may have significant adverse effects on the environment (change or extension not included in the Category A interventions);

9. Category A interventions, undertaken exclusively or mainly for the development and testing of new methods or products and not used for more than two years.

Category C interventions for which an EIA is not required

1. Institutional support;
2. Training and capacity development;
3. Awareness raising activities;
4. Development of services;
5. Grants and scholarships;
6. Development/review of policy, regulations, standards;
7. Procurement of equipment and material;
8. Organisation of events, communication, networking;
9. Cash transfers, micro-credits, public works programmes (except those targeting Category A or B interventions);
10. Small-scale constructions (e.g. warehouses, medical clinics, schools);
11. Energy conservation (including improved stoves) and energy efficiency (except when it implies Category A or B interventions);
12. Water conservation (except Category A or B interventions);
13. Maintenance of infrastructure;
14. Reforestation and agroforestry (except Category B interventions);
15. Household-level biogas systems;
16. Climate-proofing of infrastructure (except when it implies Category A or B interventions);

17. Vector control;
18. Small renewable energy installations (e.g. solar PV) (except Category B interventions);
19. Monitoring and evaluation, statistics;
20. Land cadastre.

Selection criteria to determine if a Category B intervention requires an EIA

For Category B interventions, the criteria listed below should be taken into account to determine how likely it is for the project to have significant adverse impacts on the environment. Some guidance on aspects to look out for in reviewing the criteria is also given.

CRITERIA	ADDITIONAL GUIDANCE QUESTIONS
1. Characteristics of interventions The characteristics of projects must be considered, with particular regard to:	
a. The size and design of the whole intervention; b. Cumulation with other existing and/or approved interventions; c. The use of natural resources, in particular land, soil, water and biodiversity; d. The production of waste; e. Pollution and nuisances; f. The risk of major accidents and/or disasters which are relevant to the intervention concerned, including those caused by climate change, in accordance to scientific knowledge; g. The risks to human health (for example due to water contamination or air pollution).	• Is the intervention likely to require (during or after implementation) significant amounts of water, wood, materials or other natural resources? (Note that the availability, productivity or regeneration of these resources may be threatened by the effects of climate change); • Is the intervention likely to result in the production of significant quantities of waste, especially of hazardous wastes?; • Is the intervention likely to produce significant volumes of liquid effluents or air pollutants, including greenhouse gases? Are the quantities and concentrations of these emissions likely to exceed national and international environmental standards?; • Is the intervention likely to affect important water bodies or significantly affect water regimes? (e.g. due to intensive water extraction, polluting effluents, removal of vegetation that would increase sediment load of water bodies); • Is the intervention likely to require significant accommodation or service amenities to support the workforce (during or after construction)?; • Is the intervention likely to require significant use of fertilisers, pesticides or other chemicals?; • Is the intervention likely to include the introduction of genetically modified organisms or alien species?; • Is the intervention likely to attract or displace a significant population and economic activities?; • Is the intervention likely to promote new settlements? (e.g. associated to the construction of roads); • Is the intervention likely to cause important soil erosion or degradation, considering its activities and its location on steep slopes or vulnerable soils? (Note that this could lead to increased local vulnerability to the possible combined effects of climate change and other pressures); • Is the intervention likely to significantly affect particular ecosystems, such as natural forests, wetlands, coral reefs, mangroves? (Note that this may lead to weakening ecosystems resilience to the effects of climate variability and change); • Are there other foreseen interventions in the area that are likely to affect the same environmental and socio-economic variables likely to be impacted by the intervention?; • Will the intervention constitute a risk for the surrounding environment and population? (e.g. risk of explosion, risk of accidental release of polluting or hazardous substances).

CRITERIA	ADDITIONAL GUIDANCE QUESTIONS
2. Location of interventions The environmental sensitivity of geographical areas likely to be affected by interventions must be considered, with particular regard to:	
a. The existing and approved land use; b. The relative abundance, availability, quality and regenerative capacity of natural resources (including soil, land, water and biodiversity) in the area and its underground; c. The absorption capacity of the natural environment, paying particular attention to the following areas: i. wetlands, riparian areas, river mouths; ii. coastal zones and the marine environment; iii. mountain and forest areas; iv. nature reserves and parks; v. areas classified or protected under national legislation; vi. areas in which there has already been a failure to meet the environmental quality standards, laid down in legislation and relevant to the intervention, or in which it is considered that there is such a failure; vii. densely populated areas; viii. landscapes and sites of historical, cultural or archaeological significance.	• Is the intervention located inside or close to a protected area or other areas classified as vulnerable, and is it likely to affect its integrity and quality directly or indirectly? (e.g. roads can facilitate access to valuable natural resources and can facilitate poaching; lineal projects such as roads or power lines can cut biological corridors, effluent discharges and run off of polluting substances such as pesticides and fertilisers can affect water quality and ecosystems downstream); • Is the intervention compatible with existing and approved land uses?; • Is the intervention likely to require the acquisition or conversion of significant areas of land that are important for ecosystem services? (e.g. for soil and water conservation, habitats, flood regulation, natural sea defences, recreation); • Will the intervention be located in a site where it can significantly affect surface waters or groundwater (in quantity and/or quality)?; • Will the intervention be located in a densely populated area and likely to produce significant nuisances such as air pollution, noise, vibration and odours?; • Will the intervention be located in or close to a site of high cultural or scenic value?

CRITERIA	ADDITIONAL GUIDANCE QUESTIONS
3. Type and characteristics of the potential impact The likely significant effects of interventions on the environment must be considered in relation to points 1 and 2 above, with regard to the impact of the intervention on the following factors: a. Population and human health; b. Biodiversity; c. Land, soil, water, air and climate; d. Material assets, cultural heritage and landscape; e. The interaction between the factors above; taking into account:	
	a. The magnitude and spatial extent of the impact (e.g. geographical area and size of the population likely to be affected); b. The nature of the impact; c. The transboundary nature of the impact; d. The intensity and complexity of the impact; e. The probability of the impact; f. The expected onset, duration, frequency and reversibility of the impact; g. The accumulation of the impact with the impact of other existing and/or approved interventions; h. The possibility of effectively reducing the impact.

The above questionnaire should give an overall idea of the expected environmental impact of the project and thus the need for and relevance of preparing an EIA.

PART C. CRA SCREENING

The purpose of a climate screening exercise is to identify potential climate change risks that may affect the achievement of the project objectives. The findings of the screening will help identify if a more detailed Climate Risk Assessment (CRA) is necessary.

Please go through the screening questionnaire below.

	PROJECT EXPOSURE		
1	**Will the project include activities focusing on one of the following areas of cooperation?** If yes, select the relevant one(s):	Yes	No
	• Environment and sustainable management of natural resources, including forestry and biodiversity		
	• Infrastructure and transport, including urban development and waste management		
	• Water and energy, including supply and management		
	• Rural development, territorial planning, agriculture and food security		
	• Disaster risk management		
	• Health		

2	If at least one YES, given their nature and location(s), would the project activities be potentially affected by natural hazards associated to climate change?	Yes	Only partly	No
	• Drought			
	• Floods (including outburst floods)			
	• Storms, cyclones, hurricanes			
	• Other extreme weather events (e.g. heat waves, cold spells, storm surges)			
	• Saltwater intrusion			
	• Shifts in the main climatic patterns (e.g. changes in the mean temperature, shifting seasons, monsoon, etc.)			

This table should be filled using information on climate vulnerabilities and possible scenarios at country and regional level, and for which sources are available in Appendix A. They provide a description of climate change hazards and constitute inputs that can support an initial assessment[1].

Interpreting the initial answers

If the reply to question 1 is No, or if all replies to Question 2 are No, and the Identification team estimates that risk related to climate change is limited, then your project is at low or no risk from climate change and a Climate Risk Assessment (CRA) is not necessary. Please address any climate change concerns that may have been identified through this screening process under the formulation studies.

In all other cases, the project Identification team may consider the project potentially at risk from climate change, depending on the degree of exposure of its individual components.

Therefore, **questions 3 to 5 below should be answered** to allow an initial appreciation of existing potential impacts and capacities for risk management. The answers will be helpful when preparing the summary of the climate screening outcomes.

(1) Generic guidance is also available that illustrates the implications of extreme climate variability and change on individual areas of cooperation

	POTENTIAL IMPACTS			
3	**Would the following expected climate change impacts adversely affect the attainment of the project's expected results?** **If yes, select the relevant one(s):**	Yes	Only partly	No
	• Impacts on ecosystems and biodiversity: e.g. loss of habitats, disturbances in ecological conditions of animal and plant species, loss of forests, wildfires, disease and pest outbreaks, spreading of invasive species, ocean acidification, coral ecosystems			
	• Impacts on land resources, e.g. landslides, acceleration in desertification and soil erosion processes			
	• Impacts on coastal areas, e.g. sea level rise, increased coastal erosion resulting in loss of land (notably on islands), and sea surges			
	• Impacts on freshwater resources: e.g. reduced availability of water, changes in river flows, melting glaciers, salinity/chemical intrusions, rapid and early snowmelt in spring and summer, decrease in water quality, glacial melt			
	• Impacts on agriculture and fisheries: e.g. decreases in fish stock, crop productivity, forestry production, in the productivity of livestock breeding activities and fish farming			
	• Other impacts affecting local communities and notably, vulnerable groups: e.g. increased prevalence of diseases, population displacement, damage to infrastructure			

	RISK MITIGATION CAPACITY			
	Project preparation and available tools			
4	**Do the proposed project background documents explicitly address climate risks?**	Yes	Only partly	No
	For example: • Problem analysis explicitly demonstrates awareness of climate risks and their potential level of negative impact, throughout the project's life-span; • The documents make reference to national/regional measures strengthening resilience and mitigating risks and there is a high level of confidence that they will be put in practice in the project; • Disaster prevention and preparedness plans (early warning system, monitoring and analysis) are established in the area of intervention and are operational; • Adaptation projects are underway (e.g. National Adaptation Plans); • Project description foresees specific measures to strengthen resilience and reduce vulnerability including by improving knowledge related to climate risks (e.g. capacity building/training/awareness raising, stakeholder engagement), and notably targeting vulnerable groups; • Project design explicitly takes into account or sets aside financial resources to support climate risk management or adaptation measures (e.g. adequate dimensioning of infrastructure, explicit use of best environmental practices or of best available techniques).	Please explain, if needed		

	RISK MITIGATION CAPACITY			
5	**Is there evidence that the implementing partners have the necessary capacity to monitor and to address climate risks?**	Yes	Only partly	No
	For example, implementing partners: • Have updated information in the area of climate risk management, disaster risk prevention and preparedness; • Have established policies and/or plans to deal with climate risks; • Make use of or have committed resources on implementing those policies and plans (including information gathering, risk management, stakeholder engagement), notably towards vulnerable groups; • Have established institutional/organisational arrangements to deal with climate change, and built staff capacities in climate risk management, disaster risk prevention and preparedness; • Ensure there is access to information and analyses on effective risk management.	Please explain, if needed		

Analysis of the outcomes and follow-up in the formulation phase

A majority of "No" or "Only Partly" answers to questions 3-5 indicate aspects to be addressed/further assessed in the formulation phase and possible additional measures required, with emphasis on *no regret*[2] measures and measures to address the causes of vulnerability and to strengthen capacities to deal with climate risks. Appendix B to this annex contains examples of types of adaptation measures in relation to main areas of cooperation[3].

In case a significant level of risk remains, requiring further investigation, the Identification team may:

1. Use further guidance to enhance the risk assessment

   (*A number of methods and tools are being developed and tested within the development community which may help project managers making more informed project decisions; a sample of them is presented in Appendix B to this annex, notably the ADAPT Tool available online: http://climatescreeningtools.worldbank.org/start-screening*

   *Alternatively, **support from the Thematic Units in DEVCO** in charge of Environment (C2) and Climate Change (C6) can be sought*).

2. Engage in the launch of a Climate Risk Assessment

   (A template for Terms of Reference is available in Annex 9 of the present guidelines).

Both options are particularly useful to identify the most appropriate adaptation measures, particularly in connection with long-lived investments in infrastructure or land use planning decisions. The option of abandoning high-risk projects may also be considered at this stage if the risk management /adaptation options are not deemed feasible.

(2) '*No regret*' or '*low regret*' measures are measures that turn out to be of benefit no matter how or whether the predicted climate change impacts materialise.

(3) *Information notes ('sector scripts') on climate change and development* are also available, which illustrate the implications of climate change on individual areas of cooperation. They suggest policy, institutional and technical options that can support *adaptation* and *mitigation* objectives. They concern: agriculture and rural development; education; energy supply; health; infrastructure (including transport); waste management; trade and investment; water supply and sanitation; biodiversity and ecosystems.

PART D. SUMMARY OF ENVIRONMENTAL AND CLIMATE RELATED SCREENING OUTCOMES FOR PROJECT MODALITY AND BUDGET SUPPORT

(Part to be filled at the identification stage)

Action in support of a sector policy/programme

Outcome of SEA Screening (Strategic Environmental Assessment) *(tick as appropriate)*
☐ An SEA will be undertaken; ☐ Key environmental and climate-related aspects will be addressed during formulation; ☐ No further action required.
Explain briefly on which basis this decision was reached. If no further action is required (third option), justify clearly why. If further assessment is to be carried out during formulation (first 2 options above), briefly describe the main aspects that will need to be the subject of such assessment.

Action under project modality, not sector-based

1. Outcome of EIA Screening (Environmental Impact Assessment) *(tick as appropriate)*
☐ Category A project: EIA will be undertaken; ☐ Category B project for which an EIA will be undertaken; ☐ Category B project not requiring an EIA, but for which environmental aspects will be addressed during formulation; ☐ Category C project: No need for further assessment.
Explain on which basis this decision was reached. If option "C" seems appropriate, justify clearly why. If further assessment is to be carried out during formulation (category A and B), briefly describe the main aspects that will need to be the subject of such assessment. Note that these aspects may if relevant include climate change mitigation (i.e. options for reducing greenhouse gas emissions or enhancing carbon sequestration).

2. Outcome of Climate Risk Screening *(tick as appropriate)*
☐ Project at risk: ☐ Further assessment will be conducted during formulation; ☐ Aspects will be addressed as relevant as part of the EIA study (if an EIA is required); ☐ Consideration will be given to undertaking a detailed climate risk assessment; ☐ No or Low risk: No further consideration of climate-related risks needed.
Explain on which basis this decision was reached – noting that the focus of climate risk screening is to identify to which extent the project is potentially vulnerable to climate-related risks, not whether the project will contribute to significant greenhouse gas emissions. If option "No or Low risk" seems appropriate, justify clearly why. If further assessment is to be carried out during formulation, briefly describe the main aspects that will need to be the subject of such assessment.

For all actions: concluding questions

(These questions have to be answered during the identification phase and the replies presented at QSG1; the answers have to be amended, as appropriate, during the formulation phase and presented at QSG2)

1. What are the main issues and/or opportunities regarding environment, biodiversity and climate change in the sector of intervention?

2. What are the proposed measures to address or seize them?

Contribution of the action to the financing related to climate change and biodiversity
1. Will the action contribute to the EU commitment to address climate change and to allocate at least 20 % of its spending to climate change-related action (this requires a Rio marker 1 or 2 for climate change adaptation and/or mitigation)? Yes / No 2. Will the action contribute to the commitment to double financial resources allocated to support efforts by developing states towards meeting the internationally-agreed biodiversity objectives (this requires a Rio marker 1 or 2 for biodiversity)? Yes/No As a reminder, three elements are in principle needed to secure a Rio marker: • Rio convention theme discussed as a relevant issue for the intervention in the background analysis. • Explicit intent to address the theme expressed at the level of outcomes and/or outputs. • Activities and/or performance/disbursement criteria addressing identified issues in relation to the considered theme.
If the action will not contribute to climate change nor biodiversity financing, justify briefly why.

Appendix A: Basic sources of information on climate change impacts and adaptation

Sources of information on climate vulnerabilities and possible scenarios are accessible on several websites. They provide a description of climate change hazards and constitute basic scientific inputs that can support a rapid screening exercise.

1. Intergovernmental Panel on Climate Change (IPCC), WMO-UNEP

The 2014 Fifth Assessment Report (AR5) of the IPCC contains a synthesis report and several working groups reports (WG). They are available on line at: http://www.ipcc.ch. The Assessment Reports include three publications, on The Physical Science Basis; Impacts, Adaptation and Vulnerability, and Mitigation of Climate Change, as well as a Synthesis Report.

2. National reports

Under the UNFCCC, all developing countries are required to submit National Communications that include a climate vulnerability and adaptation section; they are available at:

http://unfccc.int/national_reports/non-annex_i_natcom/submitted_natcom/items/653.php

All Least Developed Countries are required to produce a National Adaptation Programme of Action (NAPA); the reports are available at:

http://unfccc.int/cooperation_support/least_developed_countries_portal/items/4751.php

National Adaptation Plans (NAP) are intended to help countries conduct comprehensive medium- and long-term climate adaptation planning. They are the product of a flexible process that builds on each country's existing adaptation activities and helps integrate climate change into national decision-making. The Parties to the UNFCCC established the NAP process in 2011 in Durban, outlining four flexible planning elements[4]. Then, in 2012, a UNFCCC experts group[5] developed a detailed set of NAP technical guidelines[6] to assist developing countries.

3. International agencies

The information contained in IPCC reports and national documents provides a preliminary orientation concerning possible regional and national impacts that should be refined with local investigations at project level. A climate change rapid screening should also consider information from sources that are readily available to, and interpretable by EU Delegation staff. For example, reports from national meteorological services, research bodies or key academic papers that can provide good information. In addition, several sources available on line can also provide climate information. For instance:

- The UNDP Country Climate Profiles present climate data (observations and projections) for 52 countries. Each country report contains a set of maps and diagrams illustrating the observed and projected climates of that country as country average time series as well as maps depicting changes on a 2.5° grid and summary tables of data. A narrative part summarises the data and places it in the context of the country's general climate: http://www.geog.ox.ac.uk/research/climate/projects/undp-cp/;
- The Climate Change Country Profiles/Adaptation Learning Mechanism platform (UNDP) provides summaries of initiatives by country; it also includes details about other adaption programmes/projects. Available on line at: http://www.adaptationlearning.net;

[4] http://unfccc.int/files/adaptation/application/pdf/leg_four_elements_nap_expo_presentation_2013.pdf

[5] https://unfccc.int/essential_background/convention/convention_bodies/constituted_bodies/items/2582.php

[6] http://unfccc.int/adaptation/workstreams/national_adaptation_programmes_of_action/items/7279.php

- The Climate change data portal for development practitioners and policy makers (World Bank) is intended to provide readily accessible climate and climate-related data. It is available on line at: http://sdwebx.worldbank.org/climateportal/

- The ADAPT screening tool helps practitioners carry out their risk analysis at the planning and design stage through a risk classification system, and helps them identify knowledge gaps and options to minimize these risks, by sector, sub-sector and down to the level of activities. It is notably designed for the following sectors or topics: agriculture, coastal flood protection, energy, roads, water; but has also a questionnaire for other sectors. It also guides project designers to appropriate resources. https://climatescreeningtools.worldbank.org.

Appendix B: Examples of adaptation measures

Adaptation activities can be classified along several dimensions[7]. Below you will find concrete examples of adaptation measures in sectors most likely to be affected by climate change in least developed countries and in SIDS. The *Information notes on climate change and development: EC Cooperation: responding to climate change*[8] provide further guidance and examples on possible adaptation measures, alongside options for greenhouse gases emission reductions, that can bring about development benefits.

	Fostering behavioural change	Technological and engineering solutions	Risk management and vulnerability reduction strategies	Research
Fisheries	Diversifying sources of income	Downscaling fleet size and fishing effort	Improving mapping and monitoring of fish stocks; adopting ecosystem based approach to fisheries management	Stepping up research on sustainable aquaculture
Coastal zones and marine ecosystems	Promoting settlements and economic activities in less exposed areas	Building dykes, sea defences and barriers	Promoting the development of early warning systems; coastal afforestation, restoration of mangroves	Establishing baselines of mangroves status and trends using standardized methods, in order to better understand the effects of sea rising on mangroves and reefs
Disaster risk reduction, disaster management	Raising awareness on how to respond to warning signals, evacuation,...	Constructing shelters	Promoting the development of early warning systems	Improving monitoring and weather forecasts
Health	Improving malaria prevention in newly exposed population	Improving the protection of health infrastructure against extreme weather events	Developing information systems on climate change related disasters; promoting a healthy environment to reduce breeding grounds for vectors	Strengthening and developing long-range epidemic forecasting systems
Infrastructure	Raising the awareness of infrastructure managers, both public and private, about climate-related risks and adaptation options	Enhancing resilience in urban, rural and coastal infrastructure (flood protection dykes, dams, small-scale hydraulic infrastructure)	Adopting appropriate engineering standards and building norms, making new infrastructure more resilient to adverse weather conditions and natural disasters	Monitoring trends in migrations and population resettlements, so as to anticipate future needs at the time of planning investments in infrastructure

(7) In *Weathering the Storm: Options for Framing Adaptation and Development*, the World Resources Institute (2007) for instance classified adaptation along a continuum from activities that address vulnerability – which overlap almost completely with traditional development practice – to highly specialized activities exclusively targeting distinct climate change impacts. The UNFCCC, on the other hand, identifies six categories of adaptation options: behavioural change; technological options; risk management and reduction strategies; promotion of adaptive management strategies; financial schemes; and the promotion of ecosystem management practices.

(8) The information notes cover the following sectors: agriculture and rural development; education; energy supply; health; infrastructure (including transport); solid waste management; trade and investment; water supply and sanitation; biodiversity and ecosystems.

	Fostering behavioural change	Technological and engineering solutions	Risk management and vulnerability reduction strategies	Research
Water supply and sanitation	Rainwater harvesting, promoting water saving techniques	Adopting new technology for safe water in coastal communities to combat salinity due to sea level rise	Protecting groundwater recharge areas (e.g. by promoting the kind of vegetation that can maximise water retention and infiltration)	Improving storage capacity by constructing reservoirs at community level
Agriculture[1]	Promoting water conservation or soil conservation practices	Promoting new irrigation technologies	Improving the use of weather forecasts for farmers; insurance to cope with climate risks; creating or strengthening national centres for the conservation and use of diversity in food plant species	Promoting research on drought, flood and salinity-tolerant varieties of crops
Energy supply and use	Promoting the use of improved stoves, energy conservation and renewable energies	Promoting the use of improved stoves and renewable energies; introducing new technologies for improving energy efficiency, for the use of firewood and for making charcoal	Promoting better use of weather information and forecasts, as well as information on climate change related disasters; sustainable forest management and biomass production / use	Supporting R&D of low-carbon, sustainable energy technologies

[1] Both agriculture and energy supply and use offer significant opportunities for promoting low-carbon development paths while increasing adaptive capacity.