

Simplified Approval Process Concept Note

Project/Programme Title: _____

Country(ies): _____

National Designated
Authority(ies) (NDA): _____

Executing Entities: _____

Accredited Entity(ies) (AE): _____

Date of first submission/
version number: [YYYY-MM-DD] [V.0]

Date of current submission/
version number: [YYYY-MM-DD] [V.0]



Please submit the completed form to sap@gcfund.org,
using the following name convention in the subject line and file name:
“CN-[Accredited Entity or Country]-YYYYMMDD”

A. Project / Programme Information (max. 1 page)			
A.1. Project or programme	<input type="checkbox"/> Project <input type="checkbox"/> Programme	A.2. Public or private sector	<input type="checkbox"/> Public sector <input type="checkbox"/> Private sector
A.3. Indicate the result areas for the project/programme	<p>Mitigation: Reduced emissions from:</p> <input type="checkbox"/> Energy access and power generation <input type="checkbox"/> Low emission transport <input type="checkbox"/> Buildings, cities and industries and appliances <input type="checkbox"/> Forestry and land use <p>Adaptation: Increased resilience of:</p> <input type="checkbox"/> Most vulnerable people and communities <input type="checkbox"/> Health and well-being, and food and water security <input type="checkbox"/> Infrastructure and built environment <input type="checkbox"/> Ecosystem and ecosystem services		
A.4. Estimated mitigation impact (tCO₂eq over lifespan)		A.5. Estimated adaptation impact (number of direct beneficiaries and % of population)	
A.6. Indicative total project cost (GCF + co-finance)	Amount: USD _____	A.7. Indicative GCF funding requested (max 10M)	Amount: USD _____
A.8. Mark the type of financial instrument requested for the GCF funding	<input type="checkbox"/> Grant <input type="checkbox"/> Loan <input type="checkbox"/> Guarantee Other: specify _____		
A.9. Estimated duration of project/ programme:	a) disbursement period: b) repayment period, if applicable:	A.10. Estimated project/ Programme lifespan	This refers to the total period over which the investment is effective.
A.11. Is funding from the Project Preparation Facility needed?	Yes <input type="checkbox"/> No <input type="checkbox"/>	A.12. Confirm overall ESS category is minimum to no risk¹	<input type="checkbox"/> C or I-3
A.13. Provide rationale for the ESS categorization (100 words)			
A.14. Has the CN been shared with the NDA?	Yes <input type="checkbox"/> No <input type="checkbox"/>	A.15. Confidentiality²	<input type="checkbox"/> Confidential <input type="checkbox"/> Not confidential
A.16. Project/Programme rationale, objectives and approach of programme/project (max 100 words)	Brief summary of the problem statement and climate rationale, objective and selected implementation approach, including the executing entity(ies) and other implementing partners, including who will be implementing the measures to manage the environmental and social risks.		
B. Project / Programme details (max. 3 pages)			
B.1. Context and Baseline (max. 1 page)			
<p><i>Describe as relevant the climate vulnerabilities and impacts, GHG emissions profile, and mitigation and adaptation needs that the prospective intervention is envisaged to address.</i></p> <p><i>Please indicate how the project fits in with the country's national priorities, action plans and programs and its full ownership of the concept.</i></p> <p><i>Describe the main root causes and barriers (social, gender, fiscal, regulatory, technological, financial, ecological, institutional, etc.) that need to be addressed. Where relevant, please describe the key characteristics and dynamics of the sector or market.</i></p>			

¹ Refer to the SAP ESS Guidelines

² Concept notes (or sections of) not marked as confidential may be published in accordance with the Information Disclosure Policy ([Decision B.12/35](#)) and the Review of the Initial Proposal Approval Process ([Decision B.17/18](#)).

B.2. Project / Programme description (max. 1 page)

Describe the expected set of components and activities to address the above barriers identified that will lead to the expected outcomes.

Please explain why this project or programme is ready for scaling up and has the potential for transformation. Has it been piloted in the country or region? Are the proposed interventions well documented for their costs and benefits?

Describe in what way the Accredited Entity(ies) is well placed to undertake the planned activities and what the implementation arrangements with the executing entity(ies) and implementing partners will be.

Please provide a brief overview of the key financial and operational risks and any mitigation measures identified.

B.3. Expected project results aligned with the GCF investment criteria (max. 1 page)

Please describe and provide an estimate of the expected impacts aligned with the GCF investment criteria: impact potential, paradigm shift, sustainable development, needs of recipients, country ownership, and efficiency and effectiveness.

C. Indicative financing / Cost information (max. 2 pages)

C.1. Financing by components (max ½ page)

Please provide an estimate of the total cost per component and disaggregate by source of financing.

Component	Indicative cost (USD)	GCF financing		Co-financing		
		Amount (USD)	Financial Instrument	Amount (USD)	Financial Instrument	Name of Institutions
Indicative total cost (USD)						

For private sector proposal, provide an overview (diagram) of the proposed financing structure.

C.2. Justification of GCF involvement (max 1/2 page)

Explain why the Project/ Programme requires GCF funding, i.e. explaining why this is not financed by the public and/ or private sector(s) of the country.

C.3. Sustainability and replicability of the project (exit strategy) (max. 1/2 page)

Please explain how the project/programme sustainability will be ensured in the long run and how this will be monitored, after the project/programme is implemented with support from the GCF and other sources.

For non-grant instruments, explain how the capital invested will be repaid and over what duration of time.

C.4 Stakeholders engagement in the project or programme (max ½ page)

Please describe how engagement among the NDA, AE, EE and/or other relevant stakeholders in the country has taken place so far and what further engagement will be undertaken as the concept is developed into a funding proposal.

C.5 Monitoring and Evaluation and reporting plans (max ¼ page)

Please explain how the M&E will be conducted as part of the project or programme (routine and concurrent monitoring, interim and final evaluations, and annual reports)

D. Annexes

- ESS screening check list (Annex 1)
- Map indicating the location of the project/programme (as applicable)
- Evaluation Report of previous project (as applicable)

Annex 1: Environmental and Social Screening Checklist

Part A: Risk Factors

The questions describe the “risk factors” of activities that would require additional assessments and information. Any “Yes” response to the questions will render the proposal not eligible for the Simplified Approval Process Pilot Scheme. Proposals with any of the risk factors may be considered under the regular project approvals process instead.

Exclusion criteria	YES	NO
Will the activities involve associated facilities and require further due diligence of such associated facilities?	<input type="checkbox"/>	<input type="checkbox"/>
Will the activities involve trans-boundary impacts including those that would require further due diligence and notification to downstream riparian states?	<input type="checkbox"/>	<input type="checkbox"/>
Will the activities adversely affect working conditions and health and safety of workers or potentially employ vulnerable categories of workers including women, child labour?	<input type="checkbox"/>	<input type="checkbox"/>
Will the activities potentially generate hazardous waste and pollutants including pesticides and contaminate lands that would require further studies on management, minimization and control and compliance to the country and applicable international environmental quality standards?	<input type="checkbox"/>	<input type="checkbox"/>
Will the activities involve the construction, maintenance, and rehabilitation of critical infrastructure (like dams, water impoundments, coastal and river bank infrastructure) that would require further technical assessment and safety studies?	<input type="checkbox"/>	<input type="checkbox"/>
Will the proposed activities potentially involve resettlement and dispossession, land acquisition, and economic displacement of persons and communities?	<input type="checkbox"/>	<input type="checkbox"/>
Will the activities be located in protected areas and areas of ecological significance including critical habitats, key biodiversity areas and internationally recognized conservation sites?	<input type="checkbox"/>	<input type="checkbox"/>
Will the activities affect indigenous peoples that would require further due diligence, free, prior and informed consent (FPIC) and documentation of development plans?	<input type="checkbox"/>	<input type="checkbox"/>
Will the activities be located in areas that are considered to have archaeological (prehistoric), paleontological, historical, cultural, artistic, and religious values or contains features considered as critical cultural heritage?	<input type="checkbox"/>	<input type="checkbox"/>

Part B: Specific environmental and social risks and impacts

Assessment and Management of Environmental and Social Risks and Impacts	YES	NO	TBD
Has the AE provided the E&S risk category of the project in the concept note?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Has the AE provided the rationale for the categorization of the project in the relevant sections of the concept note or funding proposal?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are there any additional requirements for the country?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are the identification of risks and impacts based on recent or up-to-date information?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Labour and Working Conditions	YES	NO	TBD
Are the proposed activities expected to have impacts on the working conditions, particularly the terms of employment, worker’s organization, non-discrimination, equal opportunity, child labour, and forced labour of direct, contracted and third-party workers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Will the proposed activities pose occupational health and safety risks to workers including supply chain workers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Resource Efficiency and Pollution Prevention	YES	NO	TBD
Are the activities expected to generate (1) emissions to air; (2) discharges to water; (3) activity-related greenhouse gas (GHG) emission; and (5) waste?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are the activities expected to utilize natural resources including water and energy?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Will there be a need to develop detailed measures to reduce pollution and promote sustainable use of resources?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Community Health, Safety, and Security	YES	NO	TBD
Will the activities potentially generate risks and impacts to the health and safety of the affected communities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Will there be a need for an emergency preparedness and response plan that also outlines how the affected communities will be assisted in times of emergency?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Will there be risks posed by the security arrangements and potential conflicts at the project site to the workers and affected community?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Land Acquisition and Involuntary Resettlement	YES	NO	TBD
Will the activities likely involve voluntary transactions under willing buyer-willing-seller conditions and have these been properly communicated and consulted?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Biodiversity Conservation and Sustainable Management of Living Natural Resources	YES	NO	TBD
Are the activities likely introduce invasive alien species of flora and fauna affecting the biodiversity of the area?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Will the activities have potential impacts on or be dependent on ecosystem services including production of living natural resources?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Indigenous Peoples	YES	NO	TBD
Are the activities likely to have indirect impacts on indigenous peoples?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Will continuing stakeholder engagement processes and a grievance redress mechanism be integrated into the management / implementation plans?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cultural Heritage	YES	NO	TBD
Will the activity allow continuous access to the cultural heritage sites and properties?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Will there be a need to prepare a procedure in case of the discovery of cultural heritage assets?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Sign-off: *Specify the name of the person responsible for the environmental and social screening and any other approvals as may be required in the accredited entity's own management system.*