



**AFRICAN DEVELOPMENT  
BANK GROUP**

## **CLIMATE SAFEGUARDS SYSTEM (CSS)**

# Climate Screening and Adaptation Review & Evaluation Procedures **Booklet**

COMPLIANCE & SAFEGUARDS  
DIVISION (ORQR.3)

[climatechange@afdb.org](mailto:climatechange@afdb.org)







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# Acronyms

<b>AER</b>	Adaptation Evaluation Report
<b>AfDB</b>	African Development Bank
<b>AREP</b>	Adaptation Review and Evaluation Procedures
<b>CCAP</b>	Climate Change Action Plan 2010-2014
<b>CSS</b>	Climate Safeguards System
<b>ESAP</b>	Environmental and Social Assessment Procedures
<b>ESIA</b>	Environmental and Social Impact Assessment
<b>ORQR</b>	Quality Assurance and Results Department
<b>ORQR.3</b>	Compliance and Safeguards Division
<b>PCN</b>	Project Concept Note
<b>PAR</b>	Project Appraisal Report
<b>RMCs</b>	Regional Member Countries

# Purpose

The Bank, in partnership with GCAP, is developing a Climate Safeguards System (CSS) as a set of decision-making tools and guides that enable the Bank to screen projects in vulnerable sectors for climate change risks and identify appropriate adaptation measures to reduce vulnerability. The system delivers on a key objective of the Climate Risk Management and Adaptation strategy (CRMA) and Climate Change Action Plan (CCAP), which is to mainstream climate screening and adaptation in Bank projects.

The CSS comprises four (4) modules:

- **Module 1:** Climate Screening: the screening process assesses the vulnerability of a project concept to climate change and assigns to the project a categorization, ranging from 1 (most vulnerable) to 3 (least vulnerable);
- **Module 2:** Adaptation Review and Evaluation Procedures: this set of procedures has been developed to enable the user to identify adaptation measures for a project; a different set of procedures is followed depending on the categorization of the project;
- **Module 3:** Country Adaptation Factsheets: the factsheets can be produced at any time and are independent of the processes described above; they are based on a template into which up-to-date information on climate projections and country indicators can be imported from various sources;
- **Module 4:** CSS Information Base: the Information Base contains a portal that gives direct access to the climate projections developed for African Countries by the University of Cape Town; it also contains a database of adaptation activities and links to a wide range of information sources on adaptation; it provides information required for use of the modules described above.

At this stage, the CSS is a pilot tool that applies only to Bank's public sector operations in Agriculture, Water, Energy and Transport sectors. It is expected to cover in a later stage all Bank active operations in both public and private sectors.

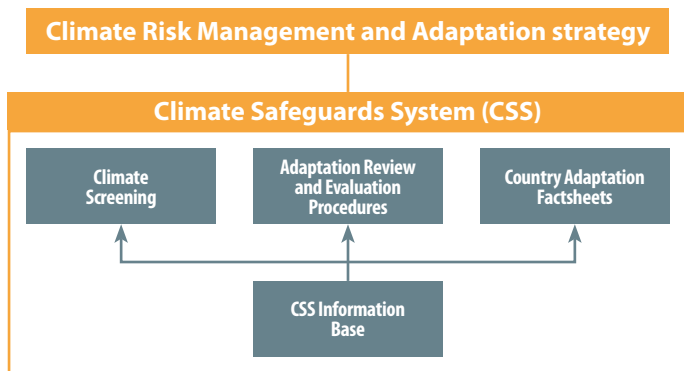
This booklet is to be used by Bank's Task Managers and Environment/Climate Change Experts working on projects related to the above-mentioned sectors.

A helpdesk will be provided during working hours to enable Bank staff using the CSS to get help with any of the modules described above.

# Introduction

The African Development Bank (AfDB) has a Climate Change Action Plan (CCAP) to reduce vulnerability to climate variability in the Regional Member Countries (RMCs) and increase the climate resilience of Bank-financed development investments. The Bank through the CCAP plans to invest \$9.6 million on climate-related projects over the next five years, including an important investment for climate-proofing.

The Climate Safeguards System (CSS) is the system deployed by the Bank for climate proofing. It is a set of decision-making tools and guides that enable the Bank to screen projects for climate change related risks and to identify appropriate adaptation measures to reduce project vulnerability.



This booklet covers the two principal modules of the CSS shown in the diagram above, namely Climate Screening and the Adaptation Review and Evaluation Procedures (AREP).







# Climate Screening and AREP Basics

For the time being, Climate Screening and AREP do not apply to:

- Studies
- Emergency projects (see box below)
- Private sector operations

## Responsibilities

- The Bank is responsible for applying the Climate Screening and AREP to climate-proof its project portfolio.
- Application of the Climate Screening and AREP is the responsibility of Task Managers and Project Teams. Work may be delegated to Environmental Experts or Climate Change Experts at the Bank and, for Category 1 projects, external consultants.

## Timing

Climate screening and AREP are carried out at the project identification/preparation stage in the project cycle (see diagram overleaf).

### Emergency relief assistance

Short-term emergency relief assistance: **Climate Screening and AREP do not apply**. If a project needs climate change adaptation expertise, the project team enlists the necessary climate change experts.

Long-term relief assistance: **Climate Screening and AREP apply**. For long-term rehabilitation and reconstruction operations designed to restore normalcy, it is important to address climate change issues because they are often associated with the cause of the emergency.

Application of the Climate Screening and AREP is undertaken prior to completion of the Project Concept Note (PCN). For Category 1 projects, some further steps are taken after completion of the PCN. However, all steps are completed before Project Appraisal commences.



## Resources

Climate Screening and AREP may be completed off-line, using the Climate Screening and AREP manuals, or online through the CSS website.

# Part 1: Climate Screening



## Summary

For a project concept:

<b>Step 1</b>	Select scorecard(s)
<b>Step 2</b>	Enter basic project information
<b>Step 3</b>	Select answer options to questions
<b>Step 4</b>	Add up scores and categorise
<b>Step 5</b>	Enclose screening results to the PCN

## Outputs from Climate Screening

For inclusion in the PCN:

- Completed scorecard(s), with categorization, for the annexes
- Summary of results, for the main report.

## Information required for Climate Screening

- A good understanding of the project concept;
- Some understanding of the sector(s) covered by the project;
- Some knowledge of host country institutions for the sector(s), their experience and their performance;
- Some understanding of the physical geography and climate of the host country.
- **Note: No knowledge of climate change is required.**

## STEP 1: **Select scorecard(s)**

- Locate the set of scorecards either in the Climate Screening module of the CSS website or in an annex to the Climate Screening Manual.
- Select the scorecard(s) that could be relevant to the project concept. If the project covers more than one sector it may be necessary to select more than one scorecard.
- Read the questions and the accompanying rationales in the scorecard(s).
- Ignore scorecards that are not relevant to the project concept.
- Finalise your scorecard(s) selection.

## STEP 2: **Enter basic project information**

- Locate either the on-line form in the Climate Screening module of the CSS website or the relevant section of the scorecard(s) from the annex to the Climate Screening Manual.
- Enter basic information on the project.

## STEP 3: **Select answer options to questions**

- Read the first question in the scorecard and review the answer options.
- Read the accompanying rationale, which explains why the question is being asked.
- Tick the answer option that is most appropriate for your project.
- Provide a short justification, to show your thinking behind your choice of answer.
- Repeat for each subsequent question in the scorecard(s).

## STEP 4: Add up scores and categorize

- Add up the scores against each selected answer option for each question. This is done automatically in the on-line version.
- Check the thresholds for Category 1 and Category 2 projects in the Climate Screening Manual. This is done automatically in the on-line version.
- Review the categorization (1, 2 or 3) produced. Is the category selected correct? (Note that Category 1 is the highest vulnerability category).
- If the category is not high enough, add an additional score to move the project up to the required category. Add a justification for your decision. Note: it is not possible to move your project concept to a lower risk category in this step.

The implications of the classification are shown in the table below:

<b>Category 1</b>	Projects may be very vulnerable to climate risk. Requires a detailed evaluation of climate change risks and adaptation measures. Comprehensive, practical risk management and adaptation measures should be integrated into the project design and implementation plans.
<b>Category 2</b>	Projects may be vulnerable to climate risk. Requires a review of climate change risks and adaptation measures. Practical risk management and adaptation options should be integrated into the project design and implementation plans.
<b>Category 3</b>	Projects are not vulnerable to climate risk. A voluntary consideration of low cost risk management and adaptation measures is recommended, but no further action is required.

## STEP 5: Enclose screening results to the PCN

- Enclose the completed scorecard to the PCN as an Appendix. In the on-line version, an export file is produced, which can be imported into a Word document.
- Enclose the summary (which states categorization and implications) to the main PCN report.



## Part 2: Adaptation Review and Evaluation Procedures (AREP)

The procedures applied depend on the categorization produced in the Climate Screening process. It is not possible to proceed until a category has been produced for the project concept.

This booklet begins with Category 3 projects, because these are the most commonly encountered and least risky from a climate change perspective.

### Information required

- A completed scorecard, with categorization;
- A good understanding of the project concept;
- Some understanding of the sector(s) covered by the project;
- A good knowledge of host country institutions for the sector(s), their experience and their performance;
- Some understanding of the physical geography and climate of the host country.
- Some knowledge of climate change.
- **Note:** Information on current climate and climate change projections for the project area is available online in the CSS Information Base.

# AREP for Category 3 projects

## Summary

For a Category 3 concept:

Step 1	Select adaptation purpose and components
Step 2	Select adaptation activities (optional)
Step 3	Produce outputs for the PCN

## Outputs from AREP for Category 3 projects

For inclusion in the PCN:

- Completed adaptation purpose and component template;
- Adaptation Review Summary, with list of components;
- Adjusted project's Results-based Framework (RLF).

## Adaptation terms explained

**Adaptation Purpose:** This is the broad adaptation strategy, similar in scope to a project's purpose. The same adaptation purpose is valid across multiple sectors.

**Adaptation Component:** This is the approach to adaptation that achieves the purpose. The same adaptation component is valid across multiple sectors.

**Adaptation Activity:** This is the action that achieves the adaptation component. Many adaptation activities are sector specific, although some (such as training) are generic.



## STEP 1: Select adaptation purpose & components

- Either start the AREP module on the CSS website or locate the adaptation purposes and components template in the annex to the AREP Manual.
- Review the list of adaptation purposes and adaptation components.
- For the first adaptation purpose(s) listed, answer the following question:
  - *Is the purpose suitable for a **Category 3** project?* Tick if yes.  
Note: this is done automatically in the on-line AREP module.
- If the answer is yes, continue the process set out below; otherwise go back and look at the next adaptation purpose.
- For the first adaptation component listed under a selected purpose, answer the following questions:
  - *Is the adaptation component suitable for the proposed project?* Tick if yes.
  - *Does the adaptation component manage a risk that can be identified from the Climate Screening process?* Tick if yes.
  - *Is a stakeholder available to lead the adaptation component?* Tick if yes.
- If the answer is yes to **all** the questions above, the adaptation component is selected; if not, it is rejected.
- Repeat the process for each adaptation component.
- Repeat the process for each adaptation purpose.

## STEP 2: Select adaptation activities (optional)

For most Category 3 projects, the identification of specific adaptation activities can be left until the implementation phase. Therefore this step is optional.

Step 2 should be carried out if:

- a. the host government has specifically requested action on adaptation or “climate proofing” for the project; or
- b. the Bank staff member believes that there are opportunities to reduce climate change vulnerability at little cost to the project.

In this case, follow the process set out for **Category 2** projects from step 2 onwards.

### STEP 3: Produce outputs for the PCN

- Enclose the completed adaptation purposes and components template to the PCN as an Appendix. When using the on-line version, an export file is produced, which can be imported into a Word document.
- Produce an Adaptation Review Summary, listing the selected adaptation component(s), for inclusion in the main body of the PCN, using the template in the annex to the AREP Manual. When using the on-line version, the Adaptation Review Summary will be produced as part of the export file.
- Make adjustments to the Results-based Logical Framework (RLF) in the PCN, as follows:
  - To the Outcomes row/ Risks and Mitigation Measures column, add climate change risks and adaptation purposes identified.
  - To the Outputs row/ Results Chain column, adjust outputs that will be affected by adaptation components.
  - To the Outputs row/ Means of Verification column, add means that relate to the adjusted outputs.
  - Note: The additional costs of adaptation for a Category 3 project should be marginal. No adjustment to the project budget will be required.

# AREP for Category 2 projects

## Summary

For a Category 2 concept:

<b>Step 1</b>	Select adaptation purpose and components
<b>Step 2</b>	Select adaptation activities
<b>Step 3</b>	Supplement adaptation activities
<b>Step 4</b>	Produce outputs for the PCN

## Outputs from AREP for Category 2 projects

For inclusion in the PCN:

- Completed adaptation purpose and component template;
- Completed adaptation activities template(s);
- Adaptation Review Summary, with list of components and activities;
- Adjusted RLF.

### STEP 1: Select adaptation purpose & components

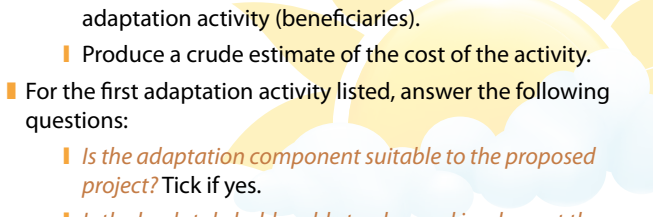
- Either start the AREP module on the CSS website or locate the adaptation purposes and components template in the annex to the AREP Manual.
- Review the list of adaptation purposes and adaptation components. Note: these are generic categories that could be applicable to a project in any sector.
- For the first adaptation purpose(s) listed, answer the following question:

- *Is the purpose suitable for a **Category 2** project?* Tick if yes.  
Note: this is done automatically in the on-line AREP module.

- If the answer is yes, continue the process set out below; otherwise go back and look at the next adaptation purpose.
- For the first adaptation component listed under a selected purpose, answer the following questions:
  - *Is the adaptation component suitable to the proposed project?* Tick if yes.
  - *Does the adaptation component manage a risk that can be identified from the Climate Screening process?* Tick if yes.
  - *Is a stakeholder available to lead the adaptation component?* Tick if yes.
- If the answer is yes to **all** the questions above, the adaptation component is selected; if not, it is rejected.
- Repeat the process for each adaptation component.
- Repeat the process for each adaptation purpose.

## STEP 2: **Select adaptation activities**

- Either continue with the AREP module on the CSS website or locate the sector specific adaptation activities template in the annex to the AREP Manual. *Note: It may be necessary to use more than one sector template.*
- Highlight the adaptation components that were selected under step 1. *Note: this is done automatically in the on-line AREP module.*
- Review the list of adaptation activities that relate to selected adaptation components.
- For the first adaptation activity listed, carry out the following tasks:
  - Identify the lead stakeholder for the adaptation activity.
  - Identify the project stakeholders that benefit from the

- 
- adaptation activity (beneficiaries).
- Produce a crude estimate of the cost of the activity.
  - For the first adaptation activity listed, answer the following questions:
    - *Is the adaptation component suitable to the proposed project?* Tick if yes.
    - *Is the lead stakeholder able to plan and implement the adaptation activity?* Tick if yes.
    - *Will the adaptation activity reach the intended beneficiaries of the project?* Tick if yes.
    - *Do the benefits of the adaptation activity justify its costs?* Tick if yes.
  - If the answer is yes to **all** the questions above, the adaptation activity is selected and taken forward for further consideration; if not, it is rejected.
  - Repeat the process for each adaptation activity.
  - Repeat the process for each selected adaptation component.

### STEP 3: Supplement adaptation activities

- Review the activities you have selected. Are there any gaps? Can you think of any additional activities that would benefit the project?
- If not, go to step 4.
- Add activities to the bottom of the relevant sector-specific adaptation template or follow instructions in the AREP module.
- Repeat step 2 for the adaptation activities you have just added.
- **Note:** activities that are not added via the on-line AREP module will not be stored in the CSS Information Base, and, therefore, will not be automatically available to users of the AREP Manual (until the Manual is next updated).

## STEP 4: Produce outputs for the PCN

- Enclose the completed adaptation purposes, components and activities templates to the PCN as an Appendix. When using the on-line version, an export file is produced, which can be imported into a Word document.
- Produce an Adaptation Review Summary, listing the selected adaptation component(s) and activities, for inclusion in the main body of the PCN, using the template in the annex to the AREP Manual. When using the on-line version, the Adaptation Review Summary will be produced as part of the export file.
- Make adjustments to the Results-based Logical Framework (RLF) in the PCN, as follows:
  - To the Outcomes row/ Risks and Mitigation Measures column, add climate change risks and adaptation purposes identified.
  - To the Outputs row/ Results Chain column, adjust outputs that will be affected by adaptation components.
  - To the Outputs row/ Indicator column, add indicators that relate to the adaptation output.
  - To the Outputs row/ Target column, add targets that relate to the adaptation indicators.
  - To the Outputs row/ Means of Verification column, add means that relate to the adjusted outputs.
  - To the Key Activities row/ Components column, add adaptation activities under relevant project components.
  - To the Key Activities row/ Inputs column, add the cost of the adaptation activities to the existing budget.
  - Note: The additional costs of adaptation for a **Category 2** project should generally be less than 10% of the existing project budget.

# AREP for Category 1 projects

## Summary

For a Category 1 concept:

<b>Step 1</b>	Select adaptation purpose and components
<b>Step 2</b>	Select adaptation activities (optional)
<b>Step 3</b>	Prepare terms of reference for further evaluation
<b>Step 4</b>	Produce outputs for the PCN
<b>Step 5</b>	Commission an expert study
<b>Step 6</b>	Produce Adaptation Evaluation Report and summary
<b>Step 7</b>	Determine project viability
<b>Step 8</b>	Produce final outputs for project planning

## Outputs from AREP for Category 1 projects

For inclusion in the PCN:

- Completed adaptation purpose and component template;
- Optional: Completed adaptation activities template(s);
- Terms of reference for Climate Change Experts.

For addition to the Information Base:

- Adaptation Evaluation Report and Summary.

For inclusion in the Internal Recommendations report:

- Internal Recommendations;
- Adaptation Evaluation Report and Summary;
- Adjusted RLF.

## STEP 1: Select adaptation purpose & components

- Either start the AREP module on the CSS website or locate the adaptation purposes and components template in the annex to the AREP Manual.
- Review the list of adaptation purposes and adaptation components. **Note:** these are generic categories that could be applicable to a project in any sector.
- **Note:** all purposes are relevant to Category 1 projects.
- For the first adaptation component listed under the first purpose, answer the following questions:
  - *Is the adaptation component suitable for the proposed project?* Tick if yes.
  - *Does the adaptation component manage a risk that can be identified from the Climate Screening process?* Tick if yes.
  - *Is a stakeholder available to lead the adaptation component?* Tick if yes.
- If the answer is yes to **all** the questions above, the adaptation component is selected; if not, it is rejected.
- Repeat the process for each adaptation component.
- Repeat the process for each adaptation purpose.

## STEP 2: Select adaptation activities

For most Category 1 projects, the identification of specific adaptation activities is carried out by climate change experts (usually external consultants) after submission of the PCN.

Step 2 should be carried out if the Bank:

- a. wishes to guide the climate change experts on the type of adaptation activities to investigate;
- b. needs to provide indicative information on adaptation activities and costs within the PCN.





If not, proceed to step 4.

- Either continue with the AREP module on the CSS website or locate the sector specific adaptation activities template in the annex to the AREP Manual. Note: It may be necessary to use more than one sector template.
- Highlight the adaptation components that were selected under step 1. Note: this is done automatically in the on-line AREP module.
- Review the list of adaptation activities that relate to selected adaptation components.
- For the first adaptation activity listed, carry out the following tasks:
  - Identify the lead stakeholder for the adaptation activity.
  - Identify the project stakeholders that benefit from the adaptation activity (beneficiaries).
  - Produce a crude estimate of the cost of the activity.
- For the first adaptation activity listed, answer the following questions:
  - *Is the adaptation component suitable to the proposed project?* Tick if yes.
  - *Is the lead stakeholder able to plan and implement the adaptation activity?* Tick if yes.
  - *Will the adaptation activity reach the intended beneficiaries of the project?* Tick if yes.
  - *Do the benefits of the adaptation activity justify its costs?* Tick if yes.
- If the answer is yes to **all** the questions above, the adaptation activity is selected; if not, it is rejected.
- Repeat the process for each adaptation activity.
- Repeat the process for each selected adaptation component.

### STEP 3: Prepare ToR for further evaluation

- Either continue with the AREP module on the CSS website or locate the terms of reference (ToR) template in the annex to the AREP Manual.
- Complete the ToR, making reference to the adaptation components (and activities) identified above.

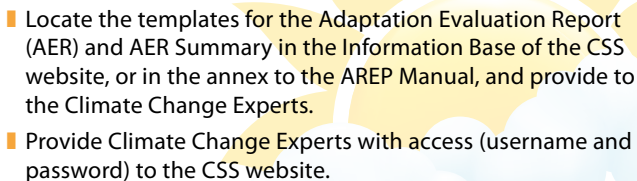
### STEP 4: Produce outputs for the PCN

- Enclose the completed adaptation purposes and components template and the activities template (if completed) to the PCN as an Appendix. When using the on-line version, an export file is produced, which can be imported into a Word document.

### STEP 5: Commission an Expert Study

- Identify suitable in-house Climate Change Experts and/or follow Bank processes for commissioning external consultants.
- Use the ToR produced above.



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- Locate the templates for the Adaptation Evaluation Report (AER) and AER Summary in the Information Base of the CSS website, or in the annex to the AREP Manual, and provide to the Climate Change Experts.
  - Provide Climate Change Experts with access (username and password) to the CSS website.

## STEP 6: Produce AER and summary

The production of the AER and AER Summary is the responsibility of the Climate Change Experts. The report will contain detailed, costed adaptation activities and a view on the viability of the project concept.

The Climate Change Experts are required to upload their documentation and add any new adaptation activities identified during their work to the CSS Information Base.

## STEP 7: Determine project viability

- Review the AER.
- Make a judgment on the viability of the project in the light of this new evidence.
- Note: the Bank may have valid reasons for proceeding with the project, even if the Climate Change Experts advise against.

## STEP 8: Produce outputs for project planning

- Either continue with the AREP module on the CSS website or locate the Internal Recommendations to the AREP Manual.
- Select the appropriate recommendation.
- Attach the AER Summary to the Internal Recommendations using the template in the annex to the AREP Manual. When using the on-line version, the AER Summary will be produced as part of the export file.
- Make adjustments to the Results-based Logical Framework

(RLF), as follows:

- To the Outcomes row/ Risks and Mitigation Measures column: add climate change risks and adaptation purposes identified.
- To the Outputs row/ Results Chain column: adjust outputs that will be affected by adaptation components.
- To the Outputs row/ Indicator column: add indicators that relate to the adaptation output.
- To the Outputs row/ Target column: add targets that relate to the adaptation indicators.
- To the Outputs row/ Means of Verification column: add means that relate to the adjusted outputs.
- To the Key Activities row/ Components column: add adaptation activities under relevant project components.
- To the Key Activities row/ Inputs column: add the cost of the adaptation activities to the existing budget.
- **Note:** The additional costs of adaptation for a **Category 1** project are generally a significant proportion of the existing project budget.









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