ANNEX D: TEMPLATE AND GUIDANCE FOR CLIMATE RISK MANAGEMENT (CRM) SCREENING

CRM SCREENING GUIDANCE FOR ASHA ACTIVITIES

Integrating climate risks into project and activity planning helps limit the impacts of climate on implementation. USAID conducts climate risk management (CRM) screening to assess and address climate risks and opportunities in strategies, projects, and activities. Below is a set of guidance notes and resources to complete the CRM screening.

ALL ACTIVITIES SCREENED: Initial screening and risk rating must be conducted and documented for ALL proposed activities. Section 1 (page 5) of the ADS Guidance outlines the only exceptions, (i.e., emergencies, staffing, research, monitoring). Aside from the excepted activities, all others (including Categorical Exclusion activities) must be screened for climate risks.

REQUIREMENTS: The requirements and basic guidance for completing the climate risk management (CRM) screening at the project and activity level is available in Mandatory Reference for ADS Chapter 201: CRM for USAID Projects and Activities (ADS Guidance). The guidance specific to Activity-Level screening should be followed. This includes development of the following:

1. Activity-Level Climate Risk Management Summary Table (CRM Table)
2. Climate Risk Management Narrative
3. ASHA-cleared A&E Service Provider Certification Form (for all awards involving construction activities) (Also see Annex G of the ASHA Global IEE)

CRM TABLE GUIDANCE: USAID has developed Climate Risk Screening and Management Tools to support this process and provide step-by-step guidance on completing the CRM Table. In particular, please use the Climate Risk Screening and Management Tool for Activity Design (CRM Tool) and the accompanying Matrix Template. While Table 1 (below) shows all columns USAID requires for ASHA, you may also choose to complete and submit additional columns found in the Matrix Template.

Within the CRM Tool, use the sector-specific annexes, which begin on page 14. USAID has developed a Guide for Integrating Climate Change Adaptation in Infrastructure Planning and Design and a report on Addressing Climate Change Impacts on Infrastructure (both of which include specific material on buildings and construction). Additional sector-specific environmental design and management information can be found in the USAID Sector Environmental Guidelines (including guidelines for Construction, Healthcare Facilities, Healthcare Waste, Schools, Solid Waste, Rural Roads, Water and Sanitation, and Rural Roads – many of which include specific sections covering climate change and climate risks).

Table 1. Climate Risk Management Summary Table Columns

Tasks / Defined or Illustrative Interventions	**Time- frame** Usable duration of investment	**Geography** Geographic scope	**Climate Risks** List key risks related to the activity elements identified through project or activity- level climate risk assessment.	**Risk Rating** Low/ Moderate/ High	**Climate Risk Management Options**	**How Risks are Addressed** Describe how risks have been addressed. If a decision has been made to accept the risk, briefly explain why.	**Opportunities to Strengthen Climate Resilience** Describe opportunities to achieve development objectives by integrating climate resilience.

CRM NARRATIVE GUIDANCE: In addition to the CRM Table, the ADS Guidance requires a "summary of the approach to activity-level CRM and major results." This should briefly clarify how risks were identified and assessed, and include critical resources referenced. If there are opportunities to reduce greenhouse gas (GHG) emissions associated with implementing the activity, describe them in the narrative.[1] The summary narrative and CRM Summary Table must accompany the EMMP (for commodity procurement-only awards) or be included with the supplemental IEE (for capital improvement awards).

ALL POTENTIAL IMPACTS: The full range of potential climate impacts which might affect the activities must be considered during the climate risk screening. This should be based on reliable available resources and information. The USAID ClimateLinks website provides country and region-specific profiles on climate vulnerability, risk and/or adaptation.

Local knowledge and expertise (including from facilities / operations personnel who have experience with local climate risks affecting the school/hospital) should inform the screening, when available and appropriate. The local and bureau-level Climate Integration Leads (CILs) can also be consulted to provide additional resources, if needed.

CLIMATE RISK RATING: Based on the screening, all relevant climate risks for each proposed activity must be assigned a rating of Low, Moderate, or High. Table 2 below shows how the severity and probability of negative climate-related impacts interact to determine the climate risk rating.

Table 2. Climate Risk Ratings

	PROBABILITY OF NEGATIVE IMPACT (increases from left to right)		
SEVERITY OF NEGATIVE IMPACT (increases from top to bottom)	Low probability Low impact **LOW RISK**	Moderate probability Low impact **LOW RISK**	High probability Low impact **LOW RISK**
	Low probability Moderate impact **LOW RISK**	Moderate probability Moderate impact **MODERATE RISK**	High probability Moderate impact **MODERATE RISK**
	Low probability High impact **MODERATE RISK**	Moderate probability High impact **HIGH RISK**	High probability High impact **HIGH RISK**

If a climate risk is rated as Low, then only the descriptions of the activity (including timeframe and geography), climate risk, and climate risk rating (columns 1-5) are necessary to include in the CRM Table (Table 1 above). For each climate risk that is rated as Moderate or High, the implementing partner should also describe how the risks will be addressed as well as the opportunities to strengthen climate resilience (columns 6-8 in Table 1).

[1] While addressing climate change mitigation (e.g., reduction of GHG emissions) is not a required part of the CRM screening process, it is encouraged.

USAID requests that findings from the CRM screening table be clearly integrated in the EMMP table, as well, for any climate risks rated as moderate or high.

All interventions related to construction should be categorized as High Climate Risk and must be assessed and certified by the ASHA-cleared Architecture and Engineering (A&E) Service Provider. The ASHA-cleared A&E Service Provider is an appropriately qualified engineer or A&E service provider responsible for completing the engineering/construction design. The ASHA-cleared A&E Service Provider must complete and submit this Certification Form. Construction cannot proceed until the bureau-level (Bureau for Democracy, Conflict and Humanitarian Assistance (DCHA)) Climate Integration Lead (CIL) approves the certified CRM Screening.

All findings from the CRM Screening and the final Awardee IEE must be incorporated into the final design and construction documents before submittal for approval by the ASHA Engineer.

EXAMPLE CLIMATE RISK MANAGEMENT MEASURES: For climate risks rated as Moderate or High, the following illustrative risk management measures are examples of what can be considered when determining and documenting how to address the climate risks (6th column of Table 1).

Climate Risks ***Construction***	**Management Measures**
- Construction workers may face increased risk of heat exhaustion or impacts of climate-related extreme events (e.g., heavy rain storms, flooding, dust storms or wildfires)	- Require that construction crews receive proper hydration and are not exposed to dangerously high heat levels, in accordance with local and national health and safety requirements.
- Extreme climate-related events (e.g., storms, wildfires, extreme heat and flooding), landslides, erosion, as well as sea level rise and associated storm surges can all affect the longevity of buildings and infrastructure. These impacts can be worsened or mitigated based on construction design and siting / location.	- Ensure emergency plans are in place (and well communicated to crews) to respond to climate-related extreme events.
- The impacts above can also threaten routes and transportation systems necessary to access and utilize constructed buildings.	- Use local knowledge and best practices to integrate design measures to address specific potential climate stressors (e.g., use more resilient materials or construction methods, design for future upgrades/repairs, or elevate to accommodate rising sea levels)
	- Consider alternative locations if proposed site faces higher climate risks (e.g., floods, wildfires, high winds, storms, or other site-specific threats) than other potential, appropriate

	locations - Consider locations with multiple access routes, particularly if at least one alternative is protected against relevant climate risks (e.g., paved to protect against wash-out during flooding or routed to avoid low-lying areas possibly affected by storm surges)
Climate Risks ***Commodities***	**Management Measures**
-Extreme climate-related events (e.g., storms, wildfires, extreme heat, droughts, and flooding), landslides, erosion, as well as sea level rise and associated storm surges can all directly affect selected sites in which commodities will be delivered, used and maintained. - Changing rainfall patterns, higher temperatures, or climate-related extreme events may affect transportation routes for delivery or access of commodities - Changing rainfall patterns or drought conditions could affect availability of water necessary for use or maintenance of commodities	-Consider alternative locations/buildings/rooms if proposed site faces higher climate risks (e.g., floods, wildfires, high winds, storms, or other site-specific threats) than other potential, appropriate locations -Determine whether additional protective measures can be added to the commodity or structure in which it is housed to increase resilience to climate risks -Develop and/or make use of existing weather/climate information and early warning systems to improve preparedness for and response to climate-related extreme events -Determine or develop back-up/alternative access routes for commodity delivery or for access to and use of commodities -Determine if alternative water sources are available and develop plans for accessing them if necessary

CRM TABLE AND NARRATIVE TEMPLATE

The CRM Screening Narrative and CRM Table should be included as a separate file from the IEE and/or EMMP.

Commodity Procurement-only CRM Screening Narrative Template:

Climate Risk Management is the process of assessing, addressing and adaptively managing climate risks that may impact the ability of USAID programs to achieve their objectives. USAID's Climate Risk Screening and Management Tools facilitate assessing and addressing climate risks during the design of strategies, projects and activities. This companion document helps USAID's community of development practitioners manage climate risks adaptively, learn from the process and record and share learning. As required by ADS Chapter 201 and associated Mandatory Reference resources, each planned project activity was screened for climate risks. The document covers incorporating climate risk management into monitoring, including performance indicators, context indicators and monitoring methods, evaluation, learning and adaptive management processes, and knowledge management.

The USAID-ASHA funds will be used to purchase [Note commodities to be procured; e.g., "Ophthalmic equipment including: an HD Analyzer, Aberometer, OCT machine, Diode Laser, Operating Microscope, and a Virectomy system"]. This equipment will be used by [the OSI] to [*Insert purpose of the project; e.g., "raise the quality of eye care and ophthalmic training in Ethiopia"*].

According to [*Add resource(s) consulted, and include a link, if possible. May use a bulleted list, if helpful], [Insert country name; e.g., "Ethiopia"*] is subject to [*Note potential climate risks found for region and local area; e.g., "climate variability and extremes including droughts and floods, and climate models predict that the region is likely to experience both near-term alterations in climate, as well as long-term shifts such as sea level rise."*]. Projected climate change impacts are likely to [*Note any potential impacts/consequences from those identified climate impacts; e.g., "add to the toll of current climate variability and extremes, resulting in significant consequences for key development areas"*].

The risk rating for this project is rated as [*Note risk rating; e.g., "low"*], as noted in the CRM Summary Table below.

Capital Improvement Activity (with or without commodity-procurement activity) CRM Screening Narrative Template:

Climate Risk Management is the process of assessing, addressing and adaptively managing climate risks that may impact the ability of USAID programs to achieve their objectives. USAID's Climate Risk Screening and Management Tools facilitate assessing and addressing climate risks during the design of strategies, projects and activities. This companion document helps USAID's community of development practitioners manage climate risks adaptively, learn from the process and record and share learning. The document covers incorporating climate risk management into monitoring, including performance indicators, context indicators and monitoring methods, evaluation, learning and adaptive management processes, and knowledge management.

The full range of potential climate impacts which might affect the activities is considered during the climate risk screening. All interventions related to construction were categorized as High Risk. For each climate risk that is rated as "High," the description on how the risks will be addressed as well as the opportunities to strengthen climate resilience are identified and documented. Identified mitigation measures for addressing climate risks are considered as part of the Environmental Mitigation and Monitoring Plan (EMMP) to strengthen performance monitoring of the implementation status of climate risk management measures.

According to [*Add resource(s) consulted, and include a link, if possible. May use a bulleted list, if helpful], [Insert country name; e.g., "Ethiopia"*] is subject to [*Note potential climate risks found for region and local area; e.g., "climate variability and extremes including droughts and floods, and climate*

models predict that the region is likely to experience both near-term alterations in climate, as well as long-term shifts such as sea level rise."]. Projected climate change impacts are likely to [*Note any potential impacts/consequences from those identified climate impacts; e.g., "add to the toll of current climate variability and extremes, resulting in significant consequences for key development areas"*].

Table 3. Climate Risk Management Summary Table

Tasks / Defined or Illustrative Interventions	**Time-frame** Usable duration of investment	**Geography** Geographic scope	**Climate Risks** List key risks related to the activity elements identified through project or activity- level climate risk assessment.	**Risk Rating** Low/ Moderate / High	**Climate Risk Management Options**	**How Risks are Addressed** Describe how risks have been addressed. If a decision has been made to accept the risk, briefly explain why.	**Opportunities to Strengthen Climate Resilience** Describe opportunities to achieve development objectives by integrating climate resilience.
TASK 1: TITLE							
TASK 2: TITLE							
(ADD ROWS AS NEEDED)							

FREQUENTLY ASKED QUESTIONS ABOUT CRM

What is CRM and why is it important?

Climate risk management (CRM) is the process of assessing, addressing and adaptively managing climate risks that may impact the ability of USAID programs to achieve objectives. For USAID's purposes, climate risks are potential negative consequences due to changing climatic conditions. Common examples include impacts from floods, storms, droughts and rising sea levels.

Screening for climate risks and integrating CRM into activity planning helps limit the negative consequences of a changing climate on implementation, while also increasing opportunities for USAID programming to better meet development objectives and increase resilience. For example, changing the site and/or design of a school construction activity to reduce potential flood risk improves resilience and increases the ability for the school building to reach generations of learners.

Is CRM screening required?

Yes! CRM Screening is required for all ASHA awards, including those with only commodity procurement. Just as the regulations regarding Agency Environmental Procedures (22 CFR 216) require consideration of environmental impacts and concrete measures to address them, USAID's Mandatory Reference resources for ADS Chapter 201 ("Climate Risk Management for USAID Projects and Activities") require consideration of climate risks to USAID investments and specific measures to mitigate them.

Some specific requirements, which are described in more detail below and in the ADS 201 guidance, include the following:

- Provide a CRM Summary Screening Table (CRM Table) along with a narrative
- Screen all anticipated activities *(everything included in the IEE/EMMP[2])*
- Complete all required columns of the CRM Table
- Rate all construction/renovation interventions as High Climate Risk, and require the ASHA-Cleared A&E Service Provider to conduct and approve the screening

When do I need to conduct the CRM Screening?

As noted in the ASHA Global Initial Environmental Examination (ASHA Global IEE), the CRM Screening must be conducted post-award but *before* any commodities are procured or construction has begun.

Awards with commodity procurement only: CRM Screening must be submitted along with the EMMP.

[2] Environmental Mitigation and Monitoring Plan (EMMP)

Capital Improvement Awards:

- For commodity procurement activities within a capital improvement award, a CRM Screening focusing on the commodity procurement activities can be submitted along with the commodity procurement-focused EMMP.
- For any capital improvement activities (e.g., any other tasks related to construction or renovation), the CRM Screening must be submitted along with the Supplemental IEE, the full EMMP, and the ASHA-cleared Architecture and Engineering (A&E) Service Provider Certification Form.

The Environmental Threshold Determination for my activity is a Categorical Exclusion. Do I still need to conduct the CRM Screening?

Yes. A Categorical Exclusion is based on the potential environmental impact of an activity and does not necessarily mean that there are no climate risks to the activity. See Table 1 in the ASHA Global IEE for recommended risk ratings across all activity types. All awards, including those with only commodity procurement, must be screened for climate risks.

A Regional / Country Development Cooperation Strategy (R/CDCS) with a CRM Screening is available for the region/country where the activities will occur.[3] Do I still need to conduct CRM Screening?

Yes. However, if the R/CDCS CRM Screening can be applied directly to the activity, then the R/CDCS climate risk rating (i.e., low, moderate, high) applies to that activity for the award-level CRM Screening.

If the Development Objective (DO), Intermediate Result (IR), or Sub-IR pertaining to the activity was rated Low Climate Risk, *no further assessment* is required at the activity level. However, the IP must include a statement in the CRM narrative section of the IEE (for construction awards) or add a note to the EMMP (for commodity procurement only awards) confirming that the Low Risk Rating assigned in the R/CDCS has been verified.

How should I document my findings?

CRM Screening at the activity level must include a narrative summary of the approach taken for the screening (e.g., resources used and key findings) as well as a CRM Summary Table. If there are opportunities to reduce greenhouse gas (GHG) emissions associated with implementing the activity, describe them in the narrative.[4] The table structure showing all columns we require can be seen in Table 3, above. The IP can add additional columns if desired.

[3] If available, the R/CDCS can be found here or on the USAID regional/country website.

[4] While addressing climate change mitigation (e.g., reduction of GHG emissions) is not a required part of the CRM screening process, it is encouraged.

How do I complete the CRM Summary Table?

USAID has developed a valuable resource called the Climate Risk Screening and Management Tool – For Use in Activity Design (CRM Tool) to step you through the process of conducting the CRM Screening and completing the CRM Summary Table. The *Infrastructure, Construction, and Energy* annex of the CRM Tool is particularly helpful for ASHA. See also the ASHA CRM Quick Reference annex of the ASHA Global IEE.

What are Climate Risk Ratings?

USAID uses a set of three risk rating levels to qualitatively categorize climate risks. The level of climate risk increases both as the severity of negative impact increases and as the probability of negative impact increases. A table showing the climate risk rating that results from assessed impact severity and probability, along with risk rating examples, can be found on page 6 of the CRM Tool.

Should I include climate risks in my Environmental Mitigation and Monitoring Plan (EMMP)?

For any activity or intervention that receives a climate risk rating of Moderate or High, the climate risk and management measures identified in the CRM Summary Table must be reflected in the EMMP. The EMMP Template within the ASHA Global IEE includes example climate-related management measures.

How does the "Opportunities to Strengthen Climate Resilience" column in the CRM Summary Table apply to ASHA?

A critical priority for ASHA is the furthering of U.S. public diplomacy. Climate considerations can help achieve this objective through, for example, demonstrating well-designed ASHA-funded construction that is highly resilient to changing climate conditions or ASHA-funded commodities that are protected and continue to operate during and following extreme weather events.

Additionally, the Opportunities column can capture ways in which the activities supported by ASHA promote climate resilience (e.g., buildings with rainwater harvesting equipment for drought prone areas, or training curricula focused on climate resilience) or reductions in GHG emissions (e.g., solar panel installation).

Where can I find other helpful resources for the CRM Screening?

In addition to the CRM Tool and the resources it contains, the following resources may be useful in screening for climate risks and completing the CRM Table.

- USAID Resources, Tools and Training to support CRM: https://www.climatelinks.org/climate-risk-management/resources-training
- Information about country-specific climate stressors and vulnerabilities can be found at the USAID Climate Links website: https://www.climatelinks.org/climate-risk-management/regional-country-risk-profiles

- Sector-specific guidelines for including climate risks into project design and implementation can be found in the USAID Sector Environmental Guidelines: https://www.usaid.gov/environmental-procedures/sectoral-environmental-social-best-practices/sector-environmental-guidelines-resources
- For construction activities, USAID has developed a Guide for Integrating Climate Change Adaptation in Infrastructure Planning and Design and a report on Addressing Climate Change Impacts on Infrastructure (both of which include specific material on buildings and construction).

Local knowledge and expertise should also inform the screening, when available and appropriate. The DCHA Climate Integration Lead can also be consulted to provide additional resources, if needed.

What if my activity involves construction or renovation?

All capital improvement interventions related to construction should be categorized as High Climate Risk and must be assessed and certified by the ASHA-cleared Architecture and Engineering (A&E) Service Provider. The ASHA-cleared A&E Service Provider is an appropriately qualified engineer or A&E service provider responsible for completing the engineering/construction design. The ASHA-cleared A&E Service Provider should complete this Certification Form.

Construction cannot proceed until the DCHA Climate Integration Lead (CIL) approves the certified CRM Screening.

How will my screening be reviewed?

In order to ensure that climate risks are appropriately assessed and managed for each ASHA activity, the DCHA Climate Integration Lead (CIL) will evaluate your submitted narrative and CRM Summary Table using the following criteria:

Minimum Standards

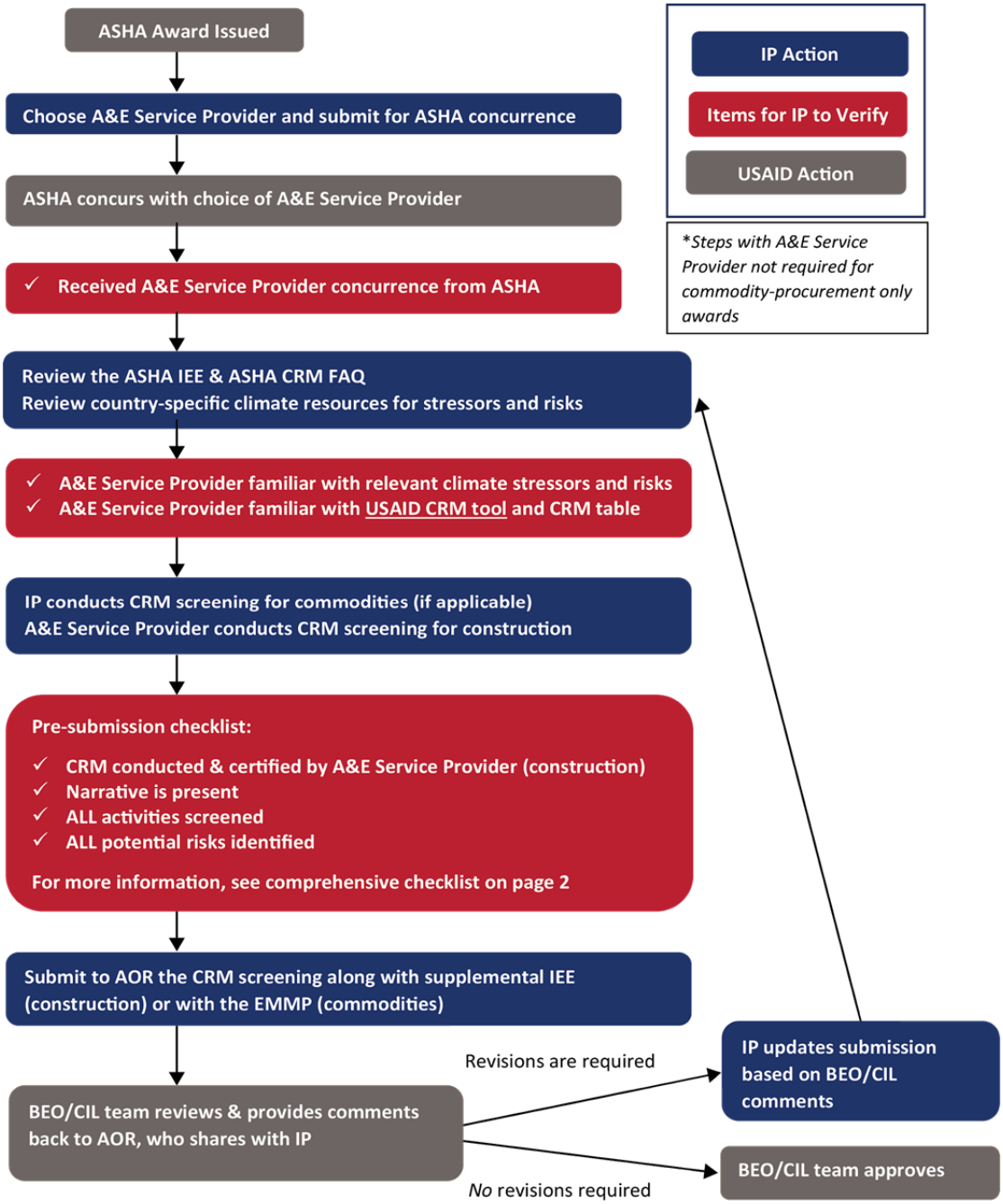
- Is the narrative present?
- For construction/renovation interventions, are all climate risks rated as High Climate Risk, and did the A&E Service Provider approve the screening?
- Are all activities screened? *(cross reference against IEE/EMMP)*
- Are all required columns completed? *(up through Rating for Low Climate Risk; all columns for Moderate/High Climate Risk)*
- Are management measures for activities with a Moderate or High Climate Risk rating included in the EMMP?
- Are the climate risk ratings aligned with the Regional/Country Development Cooperation Strategy (R/CDCS) CRM Screening, if one exists?

Technical/Quality Requirements

- Is the narrative sufficient?

- Are all key issues that are raised in the narrative also addressed in the table?
- For each screened activity, are all relevant climate risks considered?
- Is the risk rating appropriate, considering severity and likelihood?
- Do CRM options make sense and sufficiently address the identified risks?

OVERALL CRM PROCESS FLOWCHART



AWARDS PROCESS CHECKLIST

Award Steps	IP Checklist
ASHA Issues RFA	
1 Proposal Design and Submission	☐ Consult Climate Risk Profile to Understand Climate Risk ☐ Review CRM Tool Impacts and Risk Management Measures
ASHA Announces Awards	
2 Choose A&E Service Provider	☐ A&E Service Provider Approval by ASHA
3 IP Conducts CRM Screening for Commodities	☐ Review ASHA IEE & Related CRM Guidance ☐ Conduct CRM Screening for Commodities
4 A&E Service Provider Conducts CRM Screening for Construction	☐ Review ASHA IEE & Related CRM Guidance ☐ Conduct CRM Screening for Construction ☐ A&E Service Provider Signs Certification Form
5 Submit CRM Screening with EMMP (Commodities) or Supplemental IEE (Construction) to AOR	☐ CRM Conducted & Certified by A&E Service Provider (Construction) ☐ CRM Narrative is Present ☐ CRM Integrated into EMMP (For Moderate or High Climate Risks) ☐ CRM Reflected in Designs (Construction) ☐ ALL Activities Screened ☐ ALL Potential Risks Identified
BEO/CIL Team Reviews Submissions	
BEO/CIL Team Accepts or Requests Revisions	
6 Revise CRM Screening *(if necessary)*	☐ Address Comments and Resubmit
BEO/CIL Team Approves	

IP / A&E Service Provider Action -- Blue	USAID Action -- Yellow

CLIMATE STRESSORS AND RISKS

Are all climate stressors and their potential risks to the activity considered?	
ILLUSTRATIVE CLIMATE STRESSORS	**ILLUSTRATIVE RISKS**
 Increased temperatures; increased frequency and/or severity of heat waves and hot days & nights	• Increased energy demand for cooling • Heat exhaustion & heat-related illness • Heat-related damage to materials
 Changes in precipitation patterns, along with increases in drought and/or flood incidence	• Structure damage from moisture-related ground movements and flooding • Increased demand on water infrastructure • Interruption in services due to damage to transportation infrastructure
	• Foundation & structure damage from coastal erosion • Increased stress on water infrastructure

Sea level rise, increased storm surge	• Interruption in energy availability
 Increased storm frequency and/or severity	• Damage from landslides, flooding and ground movement • Damage from high winds – interruption in services from utility and transportation infrastructure damage
For more information on these and other potential climate stressors and their impacts: USAID Country and Regional Climate Risk Profiles USAID Guide for Incorporating Climate Change Adaptation in Infrastructure Planning and Design USAID Addressing Climate Change Impacts on Infrastructure	

CLIMATE RISK RATINGS

Are all activities rated appropriately?
If it's a construction activity, it must be rated as high risk. For other activities, answer the following questions: • What is the severity of the negative impact (low, moderate, or high)? • What is the probability of the negative impact occurring during operational lifetime (e.g., 40-50 years for a building or 10-15 years for an MRI unit) (low, moderate, or high)? Input answers into the risk assessment matrix on page 6 of the USAID CRM tool to determine risk rating.

KEY CONSIDERATIONS FOR RISK MANAGEMENT

Do risk management measures sufficiently address these key considerations?		
 Siting/location within building & available access routes	 Materials properties	
 Systems design & redundancy	 Safety planning	 Operations & maintenance