

ANNEXES

ANNEX 1: Submission Requirements

Startups/SGBs will be the applicants for Co-Investment Grants and will be responsible for ensuring applications are completed in-full, while investors will be required to provide supporting documents. Firms must submit the following application materials:

- Completed entrepreneur application. (Annex 6)
- Business registration forms (articles of incorporation, e.g.).
- Management resumes and organizational chart.
- List of existing shareholders and their percentage ownership (cap table).
- Presentation/pitch deck or business plan.
- Project proposal and budget (use of funds).
- Audited Financial statements for the most recent two years (if the company has been operating for more than two years)
- Management accounts for the past 12 months
- Financial projections for three years.
- Signed Term sheet by the Lead Investor
- The GIZ Environmental & Social Management Framework (ESMF). (Annex 3)

Prior to signing of the Grant Agreement, firms and investors must provide Investment Agreements (Stock Purchase Agreement, Investor Rights Agreement, e.g.) signed by all participating investors.

ANNEX 2: Minimum Qualifications for CI Grant beneficiary firms

Beneficiary firms shall be startups, early and growth stage enterprises, and small and growing businesses (SGBs), that are currently raising investment capital, most likely at the Seed to Series A stages (or using other commensurate instruments).

The firms applying for Co-Investment Grants must meet the following criteria:

- Be a company principally operating out of Iraq: Principally operating in Iraq” shall mean:
 - That is registered or domiciled in Iraq.
 - That has significant business activities in Iraq whether through selling products from Iraq, providing services from Iraq, hiring or employing individuals in Iraq.
 - Whose ultimate parent company is registered or domiciled in Iraq.
 - That has a significant part of its operations in Iraq.
- Must be a start-up, early-stage firm or small, growing business
- Be operational in Iraq at least 6 months prior to applying;
- Annual revenue for the previous year did not exceed \$5,000,000.
- Is not engaging in activities that are on the negative list in the GIZ ESMF.

ANNEX 3: Screening Checklist for Applicants

General Information	
Name of the Applicant	
Name of the Company	
Relationship of the Applicant to the Company	
Registration Status	
Legal Status	
Ownership Structure of Company	<input type="checkbox"/> Single owner <input type="checkbox"/> Multiple owners <input type="checkbox"/> Others: _____
Do the Owner/s identify themselves as male or female?	<input type="checkbox"/> Male <input type="checkbox"/> Female
Area of Operation/ Industry	
Location of Companies Headquarter, Area of Business Activities	
Funding Purpose	

(For official use only)	
Name of official assessor	
Name of organization	

Date of assessment	
Screening requirement	<input type="checkbox"/> Part I: Exclusion Screening <input type="checkbox"/> Part II: E&S Screening
Preliminary assessment result	<input type="checkbox"/> Approve <input type="checkbox"/> Approve with precaution <input type="checkbox"/> Reject
Note for precautions	_____ _____ _____
Signature	
Date	

If applicant answers 'yes' to one or more questions below in the general eligibility criteria, the application will be automatically disqualified.

Part I: Exclusion Screening

Please cross out whichever does not apply.

Is your company involved in the following areas?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<ul style="list-style-type: none"> • Production or activities involving forced labor / harmful child labor; 	<input type="checkbox"/> X / <input type="checkbox"/> OK
<ul style="list-style-type: none"> • Production or trade in any product or activity deemed illegal under host country laws or regulations or international conventions and agreements; 	<input type="checkbox"/> X / <input type="checkbox"/> OK
<ul style="list-style-type: none"> • Production or trade in weapons and munitions; 	<input type="checkbox"/> X / <input type="checkbox"/> OK

<ul style="list-style-type: none"> • Gambling, casinos and equivalent enterprises; 	<input type="checkbox"/> X / <input type="checkbox"/> OK
<ul style="list-style-type: none"> • Trade in wildlife or wildlife products regulated under the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES); 	<input type="checkbox"/> X / <input type="checkbox"/> OK
<ul style="list-style-type: none"> • Production or trade in radioactive materials; 	<input type="checkbox"/> X / <input type="checkbox"/> OK
<ul style="list-style-type: none"> • Production or trade in or use of un-bonded asbestos fibers; 	<input type="checkbox"/> X / <input type="checkbox"/> OK
<ul style="list-style-type: none"> • Production or trade in wood or other forestry products from unmanaged forests; 	<input type="checkbox"/> X / <input type="checkbox"/> OK
<ul style="list-style-type: none"> • Production or trade in products containing poly-chlorinated biphenyl, or PCBs; 	<input type="checkbox"/> X / <input type="checkbox"/> OK
<ul style="list-style-type: none"> • Production, trade, storage, or transport of significant volumes of hazardous chemicals, or commercial scale usage of hazardous chemicals; 	<input type="checkbox"/> X / <input type="checkbox"/> OK
<ul style="list-style-type: none"> • Production or trade in pharmaceuticals subject to international phase outs or bans; 	<input type="checkbox"/> X / <input type="checkbox"/> OK
<ul style="list-style-type: none"> • Production or trade in pesticides/herbicides subject to international phase outs or bans; 	<input type="checkbox"/> X / <input type="checkbox"/> OK
<ul style="list-style-type: none"> • Production or trade in ozone depleting substances subject to international phase out; 	<input type="checkbox"/> X / <input type="checkbox"/> OK
<ul style="list-style-type: none"> • Production or activities that impinge on the lands owned, or claimed under adjudication, by indigenous peoples, without full documented consent of such people. 	<input type="checkbox"/> X / <input type="checkbox"/> OK
<i>(For official use only)</i>	Disqualified or Proceed

Part II: E&S Screening

Environment

Please cross out whichever does not apply.

Overall Assessment

Will the project potentially have a considerable adverse impact on one or more of the following objects of protection?

- | | |
|---|--|
| <ul style="list-style-type: none"> • Human health (e.g. as a result of environmental pollution or non-compliance with industrial health and safety provisions) | <input type="checkbox"/> Yes / <input type="checkbox"/> No |
| <ul style="list-style-type: none"> • Biodiversity (flora, fauna, genetic diversity, etc.) | <input type="checkbox"/> Yes / <input type="checkbox"/> No |
| <ul style="list-style-type: none"> • Ecosystems and ecosystem services | <input type="checkbox"/> Yes / <input type="checkbox"/> No |
| <ul style="list-style-type: none"> • Soil, water, air and landscape | <input type="checkbox"/> Yes / <input type="checkbox"/> No |
| <ul style="list-style-type: none"> • Cultural assets | <input type="checkbox"/> Yes / <input type="checkbox"/> No |
| <ul style="list-style-type: none"> • Interactions between the objects of protection mentioned above | <input type="checkbox"/> Yes / <input type="checkbox"/> No |

Will the project be operating in an environment/sector that entails significant environmental risks although it is not directly responsible for these risks?

Example: Advisory services to the management of an industrial park which is also the base of chemicals companies

Yes / No

Is an environmental impact assessment or a strategic environmental assessment required by law in Iraq/Kurdistan for project-based interventions?

Yes / No

If applicant answers 'yes' to one or more questions in the screening of the overall environmental assessment safeguards, a description of the potential impact must be drafted below.

Financed by:

Implemented by:

<p><i>(For official use only)</i></p> <p>Is an impact/risk description necessary?</p> <p>Justification:</p> <p><i>The checklist cannot be accepted without a reasonable explanation. You must be able to provide a detailed and comprehensible description of the environmental risks to protected goods that the project poses – this can be the case for a wide variety of main objectives. Please describe the extent to which the activities of your project are dependent on or independent of this.</i></p>	<p><input type="checkbox"/> Yes / <input type="checkbox"/> No</p>
<p>Water Use Yes / No</p>	
<p>Does the business require water to operation?</p> <ul style="list-style-type: none"> If Yes - estimate the weekly amount of water used in Liters: _____ 	<p><input type="checkbox"/> -1 / <input type="checkbox"/> 0</p>
<p>Is the business affected by water scarcity or low water quality?</p>	<p><input type="checkbox"/> -1 / <input type="checkbox"/> 0</p>
<p>Is the business affected by unreliable water supply (man-made and natural causes)?</p>	<p><input type="checkbox"/> -1 / <input type="checkbox"/> 0</p>
<p>Is the business affected by unreliable water quality (man-made and natural causes)?</p>	<p><input type="checkbox"/> -1 / <input type="checkbox"/> 0</p>
<p><i>For water intensive businesses only</i></p>	
<p>Does the business have a well-structured water use and reduction guidelines?</p>	<p><input type="checkbox"/> +2 / <input type="checkbox"/> 0</p>

<ul style="list-style-type: none"> • If Yes - Are all staff trained in understanding and using the water use and reduction guidelines? • If No - How is the use of water managed? <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> +2 / <input type="checkbox"/> 0
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If overall score in this section is equal to or below -2, a description of the potential impact must be drafted below.

<p><i>(For official use only)</i></p> <p>Is an impact/risk description necessary?</p> <p>Justification:</p> <p><i>The checklist cannot be accepted without a reasonable explanation. You must be able to provide a detailed and comprehensible description of the environmental risks to protected goods that the project poses – this can be the case for a wide variety of main objectives. Please describe the extent to which the activities of your project are dependent on or independent of this.</i></p>	<input type="checkbox"/> Yes / <input type="checkbox"/> No
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Chemical Use	<input type="checkbox"/> Yes / <input type="checkbox"/> No
<p>Does the business rely on the use of chemicals?</p> <ul style="list-style-type: none"> If Yes - What type(s) of chemical is use? _____ 	<input type="checkbox"/> -1 / <input type="checkbox"/> 0
<p>Does the business require the use of pesticide in its operations?</p> <ul style="list-style-type: none"> If Yes - What type(s) of pesticide is use? _____ 	<input type="checkbox"/> -1 / <input type="checkbox"/> 0
<i>For chemical intensive businesses only</i>	
<p>Are all staff trained in the storage, use and disposal of chemicals?</p>	<input type="checkbox"/> +1 / <input type="checkbox"/> 0
<p>Does the business have a well-defined protocol in the storage, use and disposal of chemicals?</p> <ul style="list-style-type: none"> If No - How is the use of chemicals controlled/managed? <p>_____</p> <p>_____</p> <p>_____</p>	<input type="checkbox"/> +1 / <input type="checkbox"/> 0
<i>For agricultural businesses only</i>	
<p>Does the business have a well-defined protocol in the storage, use and disposal of pesticide?</p> <ul style="list-style-type: none"> If Yes - Are all staff trained in understanding and using the protocol? If No - How is the use of pesticide controlled/managed? <p>_____</p> <p>_____</p> <p>_____</p>	<input type="checkbox"/> +1 / <input type="checkbox"/> 0 <input type="checkbox"/> +1 / <input type="checkbox"/> 0
<p>If overall score in this section is equal to or below -2, a description of the potential impact must be drafted below.</p>	

(For official use only)

Is an impact/risk description necessary?

Yes / No

Justification:

The checklist cannot be accepted without a reasonable explanation. You must be able to provide a detailed and comprehensible description of the environmental risks to protected goods that the project poses – this can be the case for a wide variety of main objectives. Please describe the extent to which the activities of your project are dependent on or independent of this.

Air Emissions and Air Quality

Please cross out whichever does not apply.

Climate/ Greenhouse Gas Emissions

Risk of immediate negative effects/impacts (Carbon Footprint)

Note: Immediate negative effects are those, which are co-financed or implemented by the project and taking place during project period.

Are there one or more of the following measures or activities directly implemented or financed by the project during the project period:

- **Infrastructure measures (new construction, renovation and/or restoration)**

Yes / No

Financed by:

Implemented by:

<ul style="list-style-type: none"> • Agricultural activities 	<input type="checkbox"/> Yes / <input type="checkbox"/> No
<ul style="list-style-type: none"> • Activities in the forest sector 	<input type="checkbox"/> Yes / <input type="checkbox"/> No
<ul style="list-style-type: none"> • Economic activities 	<input type="checkbox"/> Yes / <input type="checkbox"/> No
<p>Will there be any expected extensive travel activities by the project in the context of capacity development?</p> <p>Note: Not all GHG emissions produced by travel activities within the project are being recorded by the GIZ headquarter and through the Corporate Sustainability Handprint. If the travel activities due to workshop attendance will be above average, a specific carbon footprint for the project will be imposed. If not, the project will be charged with a standard amount of 76 tons of CO2 a year (based on a study of 2019, this corresponds to about 10 trainings with 20 local participants and two international participants each, or 200 local trips and 4 international flights per year). An in-depth examination does not then have to be carried out. In this case, there is no need for an in-depth assessment furthermore.</p>	<input type="checkbox"/> Yes / <input type="checkbox"/> No
<p>Besides the above-mentioned activities - are there more GHG-intensive activities directly implemented, financed or caused by the project that were not listed yet?</p>	<input type="checkbox"/> Yes / <input type="checkbox"/> No
<ul style="list-style-type: none"> • If yes, please provide explanation from applicant: 	

Risks by negative impacts, caused indirectly

Note: Negative effects, caused indirectly are those, which are caused within the effect logic of the project but are not co-financed or implemented by the GIZ or caused beyond the project period.

Are there any indirect GHG emissions through infrastructure measures (new construction, renovation and/or rehabilitation) caused by the project?	<input type="checkbox"/> Yes / <input type="checkbox"/> No
Are there any indirect GHG emissions through agricultural activities (use of fertilizers, rice cultivation, livestock farming etc.) caused by the project?	<input type="checkbox"/> Yes / <input type="checkbox"/> No
Are there any indirect deforestation or land degradation caused by the project?	<input type="checkbox"/> Yes / <input type="checkbox"/> No
Are there any indirect GHG emissions through economical activities, trade, energy production, mobility and other activities caused by the project?	<input type="checkbox"/> Yes / <input type="checkbox"/> No

If **applicant answers 'yes' to one or more questions** in the screening of Climate/ Greenhouse Gas Emissions safeguards, a description of the potential impact must be drafted below.

Financed by:



Implemented by:



<p><i>(For official use only)</i></p> <p>Is a climate mitigation impact/risk description necessary?</p> <p>Explanation:</p> <p><i>The checklist cannot be accepted without a reasonable explanation. You must be able to delineate in detail whether the project could contribute to significant greenhouse gas emissions – this can be the case for a wide variety of main objectives. Please describe the extent to which the activities of your project are dependent on or independent of this.</i></p>	<p><input type="checkbox"/> Yes / <input type="checkbox"/> No</p>
<p>Is it likely that climate change could have a considerable adverse impact on activities and/or the planned development results of the measure?</p> <p>Impacts of climate change: e.g. temperature change, changes in precipitation or wind, indirect climate-related events such as droughts, extreme weather events, severe flooding, rising sea levels, etc.</p>	<p><input type="checkbox"/> Yes / <input type="checkbox"/> No</p>

Is it likely that the measure will impact adversely on the climate resilience (adaptive capacities) of people and/or ecosystems?

Yes / No

Examples: Increased water consumption in agriculture and industry; climate-sensitive cropping methods that result in lost harvests and thus in malnutrition and displacement as a result of climate events (e.g. drought, flooding); infrastructure measures that magnify the impacts of climate events (e.g. storms, heat waves), etc.

If **applicant answers 'yes' to one or more questions** in the screening of Climate/ Greenhouse Gas Emissions safeguards, a description of the potential impact must be drafted below..

Financed by:

Implemented by:

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Is a climate adaptation impact/risk description necessary?

Yes / No

Justification:

The checklist cannot be accepted without a reasonable explanation. You must be able to delineate in detail whether the project is dependent on direct climate parameters or whether there are risks of the project having a negative impact on the resilience of humans and/or ecosystems due to climate change. This can be the case for a wide variety of main objectives. Please describe the extent to which the activities of your project are dependent on or independent of this.

Fuel Usage

Yes / No

Does the business require the purchase and use of fuel in the production, energy generation and transportation processes of the operations?

-1 / 0

- If Yes - Are the following type(s) of fuel used? How many liters of fuel are used on a weekly basis for each type of fuel?

- | | |
|---|--|
| <input type="checkbox"/> Petroleum _____ | <input type="checkbox"/> Propane _____ |
| <input type="checkbox"/> Oil _____ | <input type="checkbox"/> Hydrogen _____ |
| <input type="checkbox"/> Methane _____ | <input type="checkbox"/> Natural Gas _____ |
| <input type="checkbox"/> Diesel Oil _____ | <input type="checkbox"/> Naphtha _____ |
| <input type="checkbox"/> Other _____ | |

For fuel intensive businesses only

Does the business have a fuel use guideline in place?

+1 / 0

- If Yes - Are all staff trained in understanding and using the guideline?
- If No – How is the use of fuel controlled or managed?

+1 / 0

Does the business provide any protective gear or equipment against air pollution for employees?

+1 / 0

If overall score in this section is equal to or below -1, a description of the potential impact must be drafted below.

<p><i>(For official use only)</i></p> <p>Is an impact/risk description necessary?</p> <p>Justification:</p> <p><i>The checklist cannot be accepted without a reasonable explanation. You must be able to provide a detailed and comprehensible description of the environmental risks to protected goods that the project poses – this can be the case for a wide variety of main objectives. Please describe the extent to which the activities of your project are dependent on or independent of this.</i></p>	<p><input type="checkbox"/> Yes / <input type="checkbox"/> No</p>
<p>Energy Consumption</p>	<p><input type="checkbox"/> Yes / <input type="checkbox"/> No</p>
<p>Does the business require electricity to operate?</p> <ul style="list-style-type: none"> • If Yes - estimate the weekly amount of electricity used in kWh. <p>_____</p>	<p><input type="checkbox"/> -1 / <input type="checkbox"/> 0</p>
<p>Is the business highly affected by unstable power supply?</p>	<p><input type="checkbox"/> -1 / <input type="checkbox"/> 0</p>
<p>Does the company rely on electrical equipment, appliances or machinery to operate?</p>	<p><input type="checkbox"/> -1 / <input type="checkbox"/> 0</p>
<p><i>For energy intensive businesses only</i></p> <p>Does the business undertake measures to ensure reliable power supply?</p> <ul style="list-style-type: none"> • If Yes - What measures are undertaken to ensure reliable power supply? <p>_____</p>	<p><input type="checkbox"/> +1 / <input type="checkbox"/> 0</p>

<hr/> <hr/> <p>Does the business have a well-defined energy reduction guidelines or measures in place? <input type="checkbox"/> +1 / <input type="checkbox"/> 0</p> <ul style="list-style-type: none"> • If Yes - Are all staff trained in understanding and using the energy reduction guidelines or measures? <input type="checkbox"/> +1 / <input type="checkbox"/> 0 • If No - How is the use of electricity controlled/managed? <input type="checkbox"/> +1 / <input type="checkbox"/> 0 <hr/> <hr/>	
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If overall score in this section is equal to or below -2, a description of the potential impact must be drafted below.

<p><i>(For official use only)</i></p> <p>Is an impact/risk description necessary? <input type="checkbox"/> Yes / <input type="checkbox"/> No</p> <p>Justification:</p> <p><i>The checklist cannot be accepted without a reasonable explanation. You must be able to provide a detailed and comprehensible description of the environmental risks to protected goods that the project poses – this can be the case for a wide variety of main objectives. Please describe the extent to which the activities of your project are dependent on or independent of this.</i></p>	
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Solid Waste	<input type="checkbox"/> Yes / <input type="checkbox"/> No
<p>Does the company produce waste?</p> <ul style="list-style-type: none"> If Yes - what type of waste is produced in the business (multiple types can be selected)? How much waste is produced on a weekly basis in kilogram for each type of waste? <p><input type="checkbox"/> Household waste: _____</p> <p><input type="checkbox"/> Commercial waste: _____</p> <p><input type="checkbox"/> Industrial waste: _____</p> <p><input type="checkbox"/> Agricultural waste: _____</p> <p><input type="checkbox"/> Others: _____</p> <ul style="list-style-type: none"> If Yes - does the business burn any form of waste? 	<p><input type="checkbox"/> -1 / <input type="checkbox"/> 0</p> <p><input type="checkbox"/> -1 / <input type="checkbox"/> 0</p>
<p>Does the business produce hazardous waste?</p> <ul style="list-style-type: none"> If Yes – what type of hazardous waste is produced (e.g. toxic, flammable, infectious, chemical)? Please state the type and amount in kilogram on a weekly basis. <p>_____</p> <p>_____</p> <p>_____</p>	<p><input type="checkbox"/> -1 / <input type="checkbox"/> 0</p>
<p><i>For hazardous waste intensive businesses only</i></p> <p>Does the business have a well-defined hazardous waste management policy / guideline in place?</p> <ul style="list-style-type: none"> If Yes - Are all staff trained in understanding and using the hazardous waste management policy / guideline? If No – <ul style="list-style-type: none"> How is hazardous waste managed? How is hazardous waste disposed? 	<p><input type="checkbox"/> +1 / <input type="checkbox"/> 0</p> <p><input type="checkbox"/> +1 / <input type="checkbox"/> 0</p>

If overall score in this section is equal to or below -2, a description of the potential impact must be drafted below.

(For official use only)

Is an impact/risk description necessary?

Yes / No

Justification:

The checklist cannot be accepted without a reasonable explanation. You must be able to provide a detailed and comprehensible description of the environmental risks to protected goods that the project poses – this can be the case for a wide variety of main objectives. Please describe the extent to which the activities of your project are dependent on or independent of this.

Electronic Waste

Yes / No

Is the business using the funding to acquire computer equipment and accessories, telecommunications equipment, electrical equipment or medical equipment?

-1 / 0

- If Yes - please specify the type of appliances or equipment the business is planning to acquire.

Is the business producing e-waste?

-1 / 0

- If Yes – What type of e-waste is produced and how much is produced on an annual basis in kilogram?

Computer equipment and accessories: _____

Electrical equipment: _____

Telecommunications equipment: _____

Medical equipment: _____

Others: _____

<p><i>For e-waste intensive businesses only</i></p> <p>Does the business have a well-defined e-waste management policy / guideline in place?</p> <ul style="list-style-type: none"> • If Yes - Are all staff trained in understanding and using the e-waste management policy / guideline? • If No – <ul style="list-style-type: none"> • How is e-waste managed? _____ • How is e-waste disposed? _____ 	<p><input type="checkbox"/> +1 / <input type="checkbox"/> 0</p> <p><input type="checkbox"/> +1 / <input type="checkbox"/> 0</p>
<p>If overall score in this section is equal to or below -2, a description of the potential impact must be drafted below.</p>	
<p><i>(For official use only)</i></p> <p>Is an impact/risk description necessary?</p> <p>Justification:</p> <p><i>The checklist cannot be accepted without a reasonable explanation. You must be able to provide a detailed and comprehensible description of the environmental risks to protected goods that the project poses – this can be the case for a wide variety of main objectives. Please describe the extent to which the activities of your project are dependent on or independent of this.</i></p>	<p><input type="checkbox"/> Yes / <input type="checkbox"/> No</p>

Social

Please cross out whichever does not apply.

Employment Data

Please fill in the following employment data table. *(Full time employees only)*

	Male	Male %	Female	Female %
Senior Management				
Middle Management				
Frontline Staff				
Total		100%		100%
Age	Male	Male %	Female	Female %
Below 15				
15-20				
21-30				
31-40				
41-50				
51-60				
60 and above				
Total		100%		100%

Financed by:

Implemented by:

Overall male to female ratio: _____

Financed by:



Implemented by:



<p>Is the measure planned in the subproject in which one or more forms of legal, political, economic, social, cultural or other discrimination and disadvantaging on grounds of gender exist?</p> <ul style="list-style-type: none"> • If yes, could the measure unintentionally contribute to reinforcing and/or exacerbating existing discrimination and disadvantaging? 	<p><input type="checkbox"/> -1 / <input type="checkbox"/> 0</p> <p><input type="checkbox"/> -1 / <input type="checkbox"/> 0</p>
<p>Is the subproject planned to take place in a sector / project area in which there are gender-specific risks*, sexual and gender-specific violence** or harmful traditional practices***?</p> <p>* e.g. inadequate or non-existent medical care during pregnancy and childbirth (sexual and reproductive health and rights); multiple discrimination; increased risks in the context of displacement and migration, climate change, etc.</p> <p>** physical, mental, sexual violence including rape; sexual abuse, sexual harassment, forced prostitution, etc.</p> <p>*** female genital mutilation (FGM), child marriage, forced marriage, preference for sons, 'honour killings', femicide, etc.</p> <ul style="list-style-type: none"> • If yes, is it possible that the proposed project could unintentionally contribute to these risks and/or forms of violence becoming entrenched and/or aggravated? 	<p><input type="checkbox"/> -1 / <input type="checkbox"/> 0</p> <p><input type="checkbox"/> -1 / <input type="checkbox"/> 0</p>
<p>Does the measure have significant potentials for making a positive contribution to mitigating and overcoming existing discrimination and disadvantaging on the grounds of gender, and thus for promoting gender equality?</p>	<p><input type="checkbox"/> +1 / <input type="checkbox"/> 0</p>
<p>Is there a set of policies and procedures related to anti-discrimination and equality in place?</p>	<p><input type="checkbox"/> +1 / <input type="checkbox"/> 0</p>
<p>If overall male to female ratio is more than 70% OR overall score of this section is equal to or below -2, a description of the gender gap must be drafted.</p>	

<p><i>(For official use only)</i></p> <p>Is a gender gap description necessary?</p> <p>Justification:</p> <p><i>The checklist cannot be accepted without a reasonable explanation. You must be able to provide a detailed and comprehensible description of the gender risks. Please describe the extent to which the activities of your project are dependent on or independent of this.</i></p>	<p><input type="checkbox"/> Yes / <input type="checkbox"/> No</p>
<p>Does the business employ part-time employees?</p> <ul style="list-style-type: none"> • If yes – what’s the overall full- to part-time staff ratio: _____ 	<p><input type="checkbox"/> -1 / <input type="checkbox"/> 0</p>
<p>Does the business employ people under the age of 15?</p>	<p><input type="checkbox"/> -1 / <input type="checkbox"/> 0</p>
<p>Do all employees have a work permit?</p>	<p><input type="checkbox"/> +1 / <input type="checkbox"/> 0</p>
<p>Is there a set of policies and procedures related to wages, benefits, holidays, and other labor policy in place?</p>	<p><input type="checkbox"/> +1 / <input type="checkbox"/> 0</p>
<p>Does the company verify the age of applicants prior hiring?</p>	<p><input type="checkbox"/> +1 / <input type="checkbox"/> 0</p>
<p>Does all employees have access to training opportunities via the business, associations or government programs?</p>	<p><input type="checkbox"/> +1 / <input type="checkbox"/> 0</p>

<p>Does the business have a confidential reporting channel for complaints and employee support?</p> <ul style="list-style-type: none"> • If Yes – are all employees aware of the channel? 	<p><input type="checkbox"/> +1 / <input type="checkbox"/> 0</p> <p><input type="checkbox"/> +1 / <input type="checkbox"/> 0</p>
<p>If overall full- to part-time staff ratio is less than 70% OR overall score of this section is equal to or below -1, a description of the employment practice must be stated.</p>	
<p><i>(For official use only)</i></p> <p>Is the employment practice description necessary?</p> <p>Justification:</p> <p><i>The checklist cannot be accepted without a reasonable explanation. You must be able to provide a detailed and comprehensible description of the employment practice. Please describe the extent to which the activities of your project are dependent on or independent of this.</i></p>	<p><input type="checkbox"/> Yes / <input type="checkbox"/> No</p>
<p>Human Rights</p>	
<p>1) Topic: discrimination</p> <p>Is the subproject planned in a sector/project area in which individual population groups suffer significant discrimination in terms of access to (state) services, productive resources or sources of income, such as corruption, stigmatisation or other access barriers?</p>	<p><input type="checkbox"/> -1 / <input type="checkbox"/> 0</p>

<p>2) Topic: Restriction of civil society's freedom to act and infringement of specific participation rights</p> <p>Is the subproject planned in a sector/project area in which civil society organisations, media workers and human rights advocates are intimidated, persecuted or in any other way significantly restricted in their freedom to act?</p> <p>Are there indications that the participation mechanisms maintained by the subproject do not take sufficient account of the specific participation rights of children, people with disabilities and/or women?</p>	<p><input type="checkbox"/> -1 / <input type="checkbox"/> 0</p> <p><input type="checkbox"/> -1 / <input type="checkbox"/> 0</p>
<p>3) Topic: infringement of the rights of indigenous people to consultation/consent</p> <p>Is the subproject planned in a sector/project area in which the rights of indigenous people to consultation/consent regarding measures that affect their land/territory/natural resources and/or their identity are not sufficiently respected?</p>	<p><input type="checkbox"/> -1 / <input type="checkbox"/> 0</p>
<p>4) Topic: evictions/forced resettlement</p> <p>Is the subproject planned in a sector/project area in which evictions and/or forced resettlements occur?</p>	<p><input type="checkbox"/> -1 / <input type="checkbox"/> 0</p>
<p>5) Topic: infringement of fundamental labour rights</p> <p>Is the subproject planned in a sector/project area in which fundamental labour rights (ILO core labour standards and other labour-related human rights) are significantly infringed?</p>	<p><input type="checkbox"/> -1 / <input type="checkbox"/> 0</p>
<p>6) Topic: human-rights-sensitive sector/other serious human rights violations</p> <p>Is the subproject operating in a sector in which serious human rights violations are committed in the country in question which are not already covered by the above topics (e.g. resource governance, nature conservation/ reserve management/ sustainable use of natural resources, security, refugee and asylum policy, migration)?</p>	<p><input type="checkbox"/> -1 / <input type="checkbox"/> 0</p>
<p>If overall score in this section is equal to or below -1, a description of the potential impact must be drafted below.</p>	

<p><i>(For official use only)</i></p> <p>Is a human rights impact/risk description necessary?</p> <p>Justification:</p> <p><i>The checklist cannot be accepted without a reasonable explanation. You must be able to provide a detailed and comprehensible description of the human rights risks. Please describe the extent to which the activities of your project are dependent on or independent of this.</i></p>	<p><input type="checkbox"/> Yes / <input type="checkbox"/> No</p>
<p>Covid-19</p>	
<p>Is COVID-19 a significant concern to the business?</p> <p><input type="checkbox"/> -1 / <input type="checkbox"/> 0</p> <ul style="list-style-type: none"> • If Yes - <ul style="list-style-type: none"> • Does the business have COVID-19 guidelines at the workplace? <input type="checkbox"/> +1 / <input type="checkbox"/> 0 <ul style="list-style-type: none"> • If Yes – are all staff trained in understanding the COVID-19 guideline or policy? <input type="checkbox"/> +1 / <input type="checkbox"/> 0 • If No – <ul style="list-style-type: none"> • Does the business practice social distancing rules at the workplace? <input type="checkbox"/> +1 / <input type="checkbox"/> 0 • Are employees encouraged to stay at home when feeling sick? <input type="checkbox"/> +1 / <input type="checkbox"/> 0 • Is wearing a mask at the workplace mandatory? <input type="checkbox"/> +1 / <input type="checkbox"/> 0 • Is the temperature of staff taken daily upon arrival at the workplace? <input type="checkbox"/> +1 / <input type="checkbox"/> 0 	
<p>Does the business require all staff to be present at the workplace within working hours?</p>	<p><input type="checkbox"/> -1 / <input type="checkbox"/> 0</p>
<p>Does the business have a remote work or work from home policy or practice?</p>	<p><input type="checkbox"/> +1 / <input type="checkbox"/> 0</p>

<p>Does the business allow visitors at site?</p> <ul style="list-style-type: none"> • If Yes – <ul style="list-style-type: none"> • Is the number of visitors at site regulated? • Is there a COVID-19 guideline or measures for visitors? <ul style="list-style-type: none"> • If Yes – are all staff trained in the COVID-19 guideline or measures for visitors? 	<p><input type="checkbox"/> -1 / <input type="checkbox"/> 0</p> <p><input type="checkbox"/> +1 / <input type="checkbox"/> 0</p> <p><input type="checkbox"/> +1 / <input type="checkbox"/> 0</p> <p><input type="checkbox"/> +1 / <input type="checkbox"/> 0</p>
<p>Did the business reduce staff or took other measures to minimize labor costs due to Covid-19?</p> <ul style="list-style-type: none"> • If Yes – how many male and female employees left the company? <hr/>	<p><input type="checkbox"/> -1 / <input type="checkbox"/> 0</p>
<p>If overall score in this section is equal to or below -1, a description of the potential impact must be drafted below.</p>	
<p><i>(For official use only)</i></p> <p>Is COVID-19 impact/risk description necessary?</p> <p>Justification:</p> <p><i>The checklist cannot be accepted without a reasonable explanation. You must be able to provide a detailed and comprehensible description of the COVID-19 risks. Please describe the extent to which the activities of your project are dependent on or independent of this.</i></p>	<p><input type="checkbox"/> Yes / <input type="checkbox"/> No</p>
<p>Occupational Health and Safety</p>	

<p>Is occupational health and safety (OHS) a major concern for the staff?</p> <p><input type="checkbox"/> -1 / <input type="checkbox"/> 0</p> <ul style="list-style-type: none"> • If Yes - <ul style="list-style-type: none"> • Are staff provided with Personal Protective Equipment that is appropriate and functional? <input type="checkbox"/> +1 / <input type="checkbox"/> 0 • Is there adequate safety equipment, such as fire extinguishers/ hydrants and first aid kits? <input type="checkbox"/> +1 / <input type="checkbox"/> 0 • Are there sufficient safety drills in case of emergency, such as fire, typhoon, flood, or others that require an evacuation from the building? <input type="checkbox"/> +1 / <input type="checkbox"/> 0 • Is there a specified person in charge of handling emergency situations, such as injury? <input type="checkbox"/> +1 / <input type="checkbox"/> 0 • Is there any monitoring or controls in place to reduce physical hazards? <input type="checkbox"/> +1 / <input type="checkbox"/> 0 • Are there any job hazard assessments conducted routinely? <input type="checkbox"/> +1 / <input type="checkbox"/> 0 • Have issues submitted through complaint management mechanism been addressed? <input type="checkbox"/> +1 / <input type="checkbox"/> 0 	
<p>Have any workers been involved in accidents at the facility?</p> <ul style="list-style-type: none"> • If Yes - please describe what happened afterwards: <hr/> <hr/>	<p><input type="checkbox"/> -1 / <input type="checkbox"/> 0</p>
<p>If overall score in this section is equal to or below -1, a description of the potential impact must be drafted below.</p>	

<i>(For official use only)</i>	
Is COVID-19 impact/risk description necessary?	<input type="checkbox"/> Yes / <input type="checkbox"/> No
<p>Justification:</p> <p><i>The checklist cannot be accepted without a reasonable explanation. You must be able to provide a detailed and comprehensible description of the COVID-19 risks. Please describe the extent to which the activities of your project are dependent on or independent of this.</i></p>	
Privacy and Data Safety	
<p>Is the use of IT equipment and software important for the business?</p> <ul style="list-style-type: none"> If Yes - <ul style="list-style-type: none"> Are security measures such as anti-virus software and firewalls installed? Does the business have a well-defined privacy and data safety management policy / guideline in place? 	<p><input type="checkbox"/> -1 / <input type="checkbox"/> 0</p> <p><input type="checkbox"/> +1 / <input type="checkbox"/> 0</p> <p><input type="checkbox"/> +1 / <input type="checkbox"/> 0</p>
<p>Does the business collect online payments or mobile payments?</p> <ul style="list-style-type: none"> If Yes – are the payments processed by a licensed vendor? 	<p><input type="checkbox"/> -1 / <input type="checkbox"/> 0</p> <p><input type="checkbox"/> +1 / <input type="checkbox"/> 0</p>
Is customer and employee data collected and stored on site?	<input type="checkbox"/> -1 / <input type="checkbox"/> 0

• If yes – is the storage secured from theft or unauthorized access?

+1 / 0

If overall score in this section is equal to or below -1, a description of the potential impact must be drafted below.

(For official use only)

Is Privacy and Data Safety impact/risk description necessary?

Yes / No

Justification:

The checklist cannot be accepted without a reasonable explanation. You must be able to provide a detailed and comprehensible description of the Privacy and Data Safety risks. Please describe the extent to which the activities of your project are dependent on or independent of this.

Business Ethics

Financed by:

Implemented by:

Does the business have a formal or informal code of conduct or staff handbook? • If Yes – Is there any anti-corruption policy or procedures in place?	<input type="checkbox"/> +1 / <input type="checkbox"/> 0 <input type="checkbox"/> +1 / <input type="checkbox"/> 0
Does the business require all staff to sign a declaration with anti-corruption clauses?	<input type="checkbox"/> +1 / <input type="checkbox"/> 0
Does the business offer any anti-corruption training to its staff?	<input type="checkbox"/> +1 / <input type="checkbox"/> 0
If overall score in this section is equal to 0, a description of the potential impact must be drafted below.	

Financed by:



Implemented by:



(For official use only)

Is corruption impact/risk description necessary?

Yes / No

Justification:

The checklist cannot be accepted without a reasonable explanation. You must be able to provide a detailed and comprehensible description of the corruption risks. Please describe the extent to which the activities of your project are dependent on or independent of this.

Land Acquisition

Financed by:



Implemented by:



<p>Does the business rely on a new parcel of land?</p> <ul style="list-style-type: none"> • If Yes – What is the size of land required for the business operations? _____ (square meters) • If Yes – Would the acquisition of the new parcel of land result in any resettlement or displacement of the community or groups of people who were inhabiting there? 	<p><input type="checkbox"/> -1 / <input type="checkbox"/> 0</p> <p><input type="checkbox"/> -1 / <input type="checkbox"/> 0</p>
<p>If overall score in this section is equal to -2, a description of the potential impact must be drafted below.</p>	
<p><i>(For official use only)</i></p> <p>Is land acquisition impact/risk description necessary?</p> <p>Justification:</p> <p><i>The checklist cannot be accepted without a reasonable explanation. You must be able to provide a detailed and comprehensible description of the land acquisition risks. Please describe the extent to which the activities of your project are dependent on or independent of this.</i></p>	<p><input type="checkbox"/> Yes / <input type="checkbox"/> No</p>

ANNEX 4: List of eligible and ineligible expenses

CI grant funds should be used for those purposes as identified in the plan and budget provided by the applicant along with the CI grant application and agreed on with the investor(s) making the investment. The financial support will be governed by a CI Grant Agreement with the CI Grant beneficiary. Upon determining the terms of the grant for the potential Beneficiary, and after identifying eligible activities, a CI Grant Agreement will be signed with the Beneficiary specifying the grant amount, expected results, disbursement plan, and/or required deliverables to release/approve payments.

Financed by:

Implemented by:

The following is a representative list of acceptable uses of funds that takes into consideration working capital needs:

- Product design and development and/or developing and testing prototypes.
- Sales and marketing activities, including those aimed at increasing potential customer base (e.g., trade fairs, trade shows, etc.).
- Equipment purchases and/or modernization.
- Advisory and training services/external consultants.
- Implementation of IT solutions.
- Costs related to applications for Intellectual Property protection.
- Operating expenses that do not fall into the non-eligible expenses.

Co-Investment Grants will include conditions that prevent the misuse of grant funds and shall be used solely for identified and approved projects and expenses. The Co-Investment Grants will **NOT** support expenses in relation to:

- Retroactive payments (i.e., payments in arrears, the grants will not cover expenses incurred prior to the signing date of the CI Grant Agreement).
- Any dividends or bonus payments to staff, management, shareholders, or consultants.
- Repayment of funds loaned to the company by related parties, including the founder/entrepreneurs, other individuals, or financial institutions.
- Any revenue share or royalty payments (cannot be paid with any firm funds during the term of the Co-Investment Grant) Tracking will be done through the review of cash flow statements etc.
- Payments to cover fees levied by investors or pay any advisory or placement fees or bonuses to external advisers.
- Expenses incurred where the activities being paid for have a negative impact environment using the ESMF.
- Purchasing land, commodities, futures, shares, securities, or other financial instruments.

ANNEX 5: CARP Project's Exclusion List

The WB has classified 14 areas of business involvement that are exempted from funding from this Project. Together, they form the basis of the CARP Project's exclusion list. The following type of activities are ineligible for financing under this Project:

1. Production or trade in any product or activity deemed illegal under Iraq's laws or regulations or international conventions and agreements
2. Production or trade in pharmaceuticals, pesticides/herbicides, ozone depleting substances, polychlorinated biphenyls (PCBs) subject to international phase outs or bans
3. Trade in wildlife or wildlife products regulated under Convention on International Trade in Endangered Species
4. Production or trade in weapons and ammunitions
5. Production or trade in alcoholic beverages
6. Production or trade in tobacco
7. Gambling, casinos, and equivalent enterprises

Financed by:

Implemented by:

8. Production or trade in radioactive materials (this does not apply to the purchase of medical equipment, quality control measurement equipment, and any equipment where the radioactive source is considered to be trivial and/or adequately shielded.)
9. Cross-border trade in waste and waste products, unless compliant with the Basel Convention and the underlying regulations
10. Production or trade in or use of unbounded asbestos fibers
11. Unsustainable fishing practices, such as drift net fishing in the marine environment using nets in excess of 2.5 km length, electric shocks, or explosive materials
12. Production or trade in wood or other forestry products other than from sustainably managed forests
13. Production or activities involving harmful or exploitative forms of forced labor or harmful child labor
14. Activities involving land acquisition and/or restrictions on land use resulting in involuntary resettlement or economic displacement
15. Any activities involving significant degradation or conversion of natural and/or critical habitats and/or any activities in legally protected areas
16. Production, trade, storage, or transport of significant volumes of hazardous chemicals, or commercial scale usage of hazardous chemicals (gasoline, kerosene, other petroleum products, textile dyes, and so on)
17. Production or activities that have adverse impacts, including relocation, on the lands, natural resources, or critical cultural heritage subject to traditional ownership or under customary use by Indigenous Peoples
18. Activities involving significant adverse impacts on critical cultural heritage
19. Production or trade in or use of non-biodegradable packaging material such as polythene bags and Styrofoam.

ANNEX 6: Co-Investment Grants Entrepreneur Application

Applicant basic information:

Applicant full legal name	
Legal registration number	
Number of employees	
Capital raised till date (in \$)	
Phone number	
Email	
Website	
Address	

Financed by:

Implemented by:

Applicant's contact information:

Contact person	
Position	
Phone number	
Email	
Address	

Current Round information:

Lead Investor/ Co Investment Partner	
Anticipated current round (in \$)	
Total raised from current round (in \$)	
Ask from CARP in \$	

Financed by:



Implemented by:

