

ANNEXES

ANNEX 1: Submission Requirements

Firms applying for the PI Grants must complete an online application¹ and provide the following set of materials:

Requirements	Attachment title
<ul style="list-style-type: none"> ▪ Entrepreneur application (Annex 2) 	
<ul style="list-style-type: none"> ▪ Business registration documents. 	
<ul style="list-style-type: none"> ▪ Pitch deck or business plan. 	
<ul style="list-style-type: none"> ▪ Founders/Management CVs/resumes. 	
<ul style="list-style-type: none"> ▪ Cap table (List of existing shareholders and their percentage ownership). 	
<ul style="list-style-type: none"> ▪ Budget proposal outlining use-of-funds for the Pre-Investment Grant. 	
<ul style="list-style-type: none"> ▪ Financial model for 2 years projections 	
<ul style="list-style-type: none"> ▪ Historical financials/accounting records for the previous two years for firms over two years old; for start-ups or SGBs under two years old, must provide records for previous operating periods (3 months at minimum). 	

ANNEX 2: Pre-Investment Grants Entrepreneur Application

Requirements	Description/ Attachment title
<ul style="list-style-type: none"> ▪ Applicant name: 	

¹ Should the planned CARP Grant management platform not be up and running, applications are being submitted through the CARP website in form of filled-in application forms, including supporting documents

▪ Referral partner's name	
▪ Referral partner's contact details	
▪ Service provider name:	
▪ Services requested:	
▪ Service provider offer letter:	
▪ Milestones:	
▪ Payment details:	

ANNEX 3: Minimum Qualifications for PI Grant beneficiary firms

PI Grants will principally target startups, early-stage firms and high growth potential SGBs raising their first round of outside capital.²

In addition, firms seeking follow-on capital (i.e., have already raised some investment capital) may be considered if a justification can be made for the need for "bridge" funding to achieve milestones to successfully secure the next financing round or if the technical assistance program provides customized assistance (for example, a regional acceleration program supporting international expansion or Series A fundraising).

Firms expected to be targeted for Pre-Investment Grant support should have the following characteristics:

- Start-ups, Early-Stage Firms and SGBs – Selected firms should:
 - Have a minimum viable product with some evidence of market testing and an emerging customer value proposition.
 - Initial revenue/pilots (with pre-revenue start-ups being considered in situations where there is a strong indication of customer and investor interest);
- Stage and Nature of Capital Raise – Most selected firms will be seeking to raise a seed or comparable funding round under \$1M.
- Participating in a program (or otherwise supported by) a qualified PI partner.

² Outside capital refers to private investment from angel investors, VCs or other institutional investors. It does not refer to family, friends or founders funding or non-dilutive sources of capital such as grants.

ANNEX 4: Screening Checklist for Applicants

General Information	
Name of the Applicant	
Name of the Company	
Relationship of the Applicant to the Company	
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	
Funding Amount (USD)	

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Name of official assessor	
Name of organization	

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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
• Production or activities involving forced labor / harmful child labor;	<input type="checkbox"/> Yes / <input type="checkbox"/> No
• Production or trade in any product or activity deemed illegal under host country laws or regulations or international conventions and agreements;	<input type="checkbox"/> Yes / <input type="checkbox"/> No
• Production or trade in weapons and munitions;	<input type="checkbox"/> Yes / <input type="checkbox"/> No

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<ul style="list-style-type: none"> • Gambling, casinos and equivalent enterprises; 	<input type="checkbox"/> Yes / <input type="checkbox"/> No
<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"/> Yes / <input type="checkbox"/> No
<ul style="list-style-type: none"> • Production or trade in radioactive materials; 	<input type="checkbox"/> Yes / <input type="checkbox"/> No
<ul style="list-style-type: none"> • Production or trade in or use of un-bonded asbestos fibers; 	<input type="checkbox"/> Yes / <input type="checkbox"/> No
<ul style="list-style-type: none"> • Production or trade in wood or other forestry products from unmanaged forests; 	<input type="checkbox"/> Yes / <input type="checkbox"/> No
<ul style="list-style-type: none"> • Production or trade in products containing poly-chlorinated biphenyl, or PCBs; 	<input type="checkbox"/> Yes / <input type="checkbox"/> No
<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"/> Yes / <input type="checkbox"/> No
<ul style="list-style-type: none"> • Production or trade in pharmaceuticals subject to international phase outs or bans; 	<input type="checkbox"/> Yes / <input type="checkbox"/> No
<ul style="list-style-type: none"> • Production or trade in pesticides/herbicides subject to international phase outs or bans; 	<input type="checkbox"/> Yes / <input type="checkbox"/> No
<ul style="list-style-type: none"> • Production or trade in ozone depleting substances subject to international phase out; 	<input type="checkbox"/> Yes / <input type="checkbox"/> No
<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"/> Yes / <input type="checkbox"/> No
<p><i>(For official use only)</i></p>	<p>Disqualified or Proceed</p>

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.

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Yes / No

Is an impact/risk description necessary?

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.

Water Use

Yes / No

Does the business require water to operation?

-1 / 0

- If Yes - estimate the weekly amount of water used in Liters: _____

Is the business affected by water scarcity or low water quality?

-1 / 0

Is the business affected by unreliable water supply (man-made and natural causes)?

-1 / 0

Is the business affected by unreliable water quality (man-made and natural causes)?

-1 / 0

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Does the business have a well-structured water use and reduction guidelines?

- 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?

+2 / 0

+2 / 0

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

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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.

Chemical Use

Yes / No

Does the business rely on the use of chemicals?

-1 / 0

- If Yes - What type(s) of chemical is use? _____

Does the business require the use of pesticide in its operations?

-1 / 0

- If Yes - What type(s) of pesticide is use? _____

For chemical intensive businesses only

Are all staff trained in the storage, use and disposal of chemicals?

+1 / 0

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Does the business have a well-defined protocol in the storage, use and disposal of chemicals?

+1 / 0

- If No - How is the use of chemicals controlled/managed?

For agricultural businesses only

Does the business have a well-defined protocol in the storage, use and disposal of pesticide?

+1 / 0

- If Yes - Are all staff trained in understanding and using the protocol?
- If No - How is the use of pesticide controlled/managed?

+1 / 0

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

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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

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<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

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- 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.

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Is a climate mitigation impact/risk description necessary?

Yes / No

Explanation:

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.

Is it likely that climate change could have a considerable adverse impact on activities and/or the planned development results of the measure?

Yes / No

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.

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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..

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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

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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?

Petroleum _____

Propane _____

Oil _____

Hydrogen _____

Methane _____

Natural Gas _____

Diesel Oil _____

Naphtha _____

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.

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<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
<p>Energy Consumption</p>	<input type="checkbox"/> Yes / <input type="checkbox"/> No
<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>	<input type="checkbox"/> -1 / <input type="checkbox"/> 0
<p>Is the business highly affected by unstable power supply?</p>	<input type="checkbox"/> -1 / <input type="checkbox"/> 0
<p>Does the company rely on electrical equipment, appliances or machinery to operate?</p>	<input type="checkbox"/> -1 / <input type="checkbox"/> 0
<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>	<input type="checkbox"/> +1 / <input type="checkbox"/> 0

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<hr/> <hr/> <p>Does the business have a well-defined energy reduction guidelines or measures in place?</p> <ul style="list-style-type: none"> • If Yes - Are all staff trained in understanding and using the energy reduction guidelines or measures? • If No - How is the use of electricity controlled/managed? <hr/> <hr/>	<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>	
<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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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>	<input type="checkbox"/> -1 / <input type="checkbox"/> 0
<i>For hazardous waste intensive businesses only</i>	
<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>_____</p> <p>_____</p>	<p><input type="checkbox"/> +1 / <input type="checkbox"/> 0</p> <p><input type="checkbox"/> +1 / <input type="checkbox"/> 0</p>

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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.

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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: _____

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Others: _____

For e-waste intensive businesses only

Does the business have a well-defined e-waste management policy / guideline in place?

+1 / 0

• If Yes - Are all staff trained in understanding and using the e-waste management policy / guideline?

+1 / 0

• If No –

• How is e-waste managed? _____

• How is e-waste disposed? _____

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

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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.

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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%

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Overall male to female ratio: _____

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<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>	



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<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>

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<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>

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<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? <input type="checkbox"/> -1 / <input type="checkbox"/> 0</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? <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? <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? <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? <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)? <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>	



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and Recovery Pilot

<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>

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<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? 	<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>

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Occupational Health and Safety

Is occupational health and safety (OHS) a major concern for the staff?

-1 / 0

• If Yes -

- Are staff provided with Personal Protective Equipment that is appropriate and functional? +1 / 0
- Is there adequate safety equipment, such as fire extinguishers/ hydrants and first aid kits? +1 / 0
- Are there sufficient safety drills in case of emergency, such as fire, typhoon, flood, or others that require an evacuation from the building? +1 / 0
- Is there a specified person in charge of handling emergency situations, such as injury? +1 / 0
- Is there any monitoring or controls in place to reduce physical hazards? +1 / 0
- Are there any job hazard assessments conducted routinely? +1 / 0
- Have issues submitted through complaint management mechanism been addressed? +1 / 0

Have any workers been involved in accidents at the facility?

-1 / 0

• If Yes - please describe what happened afterwards:

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Is COVID-19 impact/risk description necessary?	<input type="checkbox"/> Yes / <input type="checkbox"/> No
Justification:	
<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>	
Privacy and Data Safety	
Is the use of IT equipment and software important for the business?	<input type="checkbox"/> -1 / <input type="checkbox"/> 0
<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? 	<input type="checkbox"/> +1 / <input type="checkbox"/> 0 <input type="checkbox"/> +1 / <input type="checkbox"/> 0
Does the business collect online payments or mobile payments?	<input type="checkbox"/> -1 / <input type="checkbox"/> 0
<ul style="list-style-type: none"> • If Yes – are the payments processed by a licensed vendor? 	<input type="checkbox"/> +1 / <input type="checkbox"/> 0

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Is customer and employee data collected and stored on site?

-1 / 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.

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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

Does the business have a formal or informal code of conduct or staff handbook?

+1 / 0

- If Yes – Is there any anti-corruption policy or procedures in place?

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	<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.	

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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.

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Land Acquisition

Does the business rely on a new parcel of land?

-1 / 0

- 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?

-1 / 0

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

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Is land acquisition 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 land acquisition risks. Please describe the extent to which the activities of your project are dependent on or independent of this.

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ANNEX 5: CARP Project's Exclusion List

The WB has classified 19 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
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)

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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.

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