



## GREEN CLIMATE FUND ACCREDITATION APPLICATION FORM

### TIPS WHEN APPLYING FOR ACCREDITATION

#### **Policies, procedures and track record**

The accreditation process is designed to check if an entity has fiduciary, environmental and social and gender policies and procedures and demonstrated evidence of implementing these policies and procedures. In the process of completing the application form, the applicant will have the opportunity to provide its own relevant policies and procedures, as well as track record and experience in their implementation through its activities, such as projects and programmes already undertaken. If the policies and procedures or track record do not exist, this should be indicated in the application. Further information is provided in the instructions below.

#### **Referencing of documents**

For supporting documentation provided together with the application, applicants are encouraged to reference these documents and provide the section in the documents or page numbers where the relevant information can be found. Where documents submitted are relevant for more than one item, applicants can upload the supporting documents once under one item and then should specify the item number where the document was attached, the name of the document and the section in the documents/page numbers where the relevant information can be found when referring to it as evidence in response to another item in the application form.

#### **Languages**

All applications must be completed and submitted in English. Where documents are available in other languages, summaries in English of relevant documentation should be provided together with original documents, please indicate in your application which documents the English summaries correspond to out of the original documents provided.

#### **Confidentiality of information**

All applicants that use the [Online Accreditation System](#) (OAS) are subject to the [Terms and Conditions of the OAS](#). As a part of these Terms and Conditions, the applicant entity acknowledges and agrees that use of the OAS is subject to the Fund's [Interim Information Disclosure Practice](#) as may be amended from time to time (refer to section 2 of the Terms and Conditions for more information, and to paragraph 5 of the Interim Information Disclosure Practice). We wish to remind that paragraph 5 of the Fund's Interim Information Disclosure Practice clearly states that, all information received from third parties as confidential and accepted as such, will be treated as confidential. You may assume that all information received by the Fund, clearly marked as confidential, will be accepted and hence treated as confidential.



## INSTRUCTIONS

The application form for accreditation for the Green Climate Fund is composed of the following sections:

- I. Background and contact information of the applicant entity;
- II. Information on the ways in which the institution and its intended projects/programmes will contribute to furthering the objectives of the Green Climate Fund;
- III. Information on the scope of intended projects/programmes and estimated contribution requested for an individual project or activity within a programme;
- IV. Basic fiduciary criteria;
- V. Applicable specialized fiduciary criteria;
- VI. Environmental and social safeguards (ESS);
- VII. Gender.

An applicant entity can submit only one application at a time for accreditation to the Green Climate Fund.

All applications must be completed and submitted in English until it is feasible to accept and process applications in other official United Nations languages.<sup>1</sup> Supporting documentation must be submitted in English or an English translation must be provided until it is feasible to accept and process supporting documentation in other official United Nations languages.

Applications must be submitted via the [Online Accreditation System](#).

Each application will automatically be assigned an application number based on the date and time of receipt by the Secretariat to begin Stage I of the accreditation process.<sup>2</sup>

### **Applications under Direct Access or International Access**

<sup>1</sup> Official languages used at the United Nations will be introduced as accepted languages as soon as it is feasible. Official languages used at the United Nations are Arabic, Chinese, English, French, Russian and Spanish (refer to <http://www.un.org/en/aboutun/languages.shtml>). Until languages other than English are accepted, all supporting documentation submitted must be in English.

<sup>2</sup> Paragraphs 25-33 of Annex I in document GCF/B.07/11, available at <[http://gcfund.net/fileadmin/00\\_customer/documents/MOB201406-7th/GCF\\_B07\\_Decisions\\_Seventh\\_Meeting\\_fin\\_20140619.pdf](http://gcfund.net/fileadmin/00_customer/documents/MOB201406-7th/GCF_B07_Decisions_Seventh_Meeting_fin_20140619.pdf)>.



Applicant entities can apply for accreditation under the (i) direct access track (for subnational, national and regional entities) or (ii) international access track (for international entities, including United Nations agencies, multilateral development banks, international financial institutions and regional institutions).<sup>3</sup>

The Governing Instrument of the Fund indicates that recipient countries will nominate competent subnational, national and regional implementing entities for accreditation to receive funding. As such, entities applying under the direct access track will need to provide evidence of their nomination from the National Designated Authority (NDA) or focal point designated from their country with their application for accreditation before the application is assessed.<sup>4</sup>

**Entities must select one:**

Direct Access Track

1. Do you have a nomination from your NDA or focal point supporting your application for accreditation?
  - Yes
  - No
2. Do you require readiness and preparatory support? Entities applying under the direct access track can request and may be eligible to receive readiness and preparatory support in terms of capacity-building in order to meet the Fund's accreditation requirements.
  - Yes
  - No

International Access Track

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<sup>3</sup> Paragraph 26 of Annex I in document GCF/B.07/11, available at <[http://gcfund.net/fileadmin/00\\_customer/documents/MOB201406-7th/GCF\\_B07\\_Decisions\\_Seventh\\_Meeting\\_fin\\_20140619.pdf](http://gcfund.net/fileadmin/00_customer/documents/MOB201406-7th/GCF_B07_Decisions_Seventh_Meeting_fin_20140619.pdf)>.

<sup>4</sup> Paragraph 27 of Annex I in document GCF/B.07/11, available at <[http://gcfund.net/fileadmin/00\\_customer/documents/MOB201406-7th/GCF\\_B07\\_Decisions\\_Seventh\\_Meeting\\_fin\\_20140619.pdf](http://gcfund.net/fileadmin/00_customer/documents/MOB201406-7th/GCF_B07_Decisions_Seventh_Meeting_fin_20140619.pdf)>.



## **Applications under the Accreditation Process or Fast-Track Accreditation Process**

All entities, including international, regional, national and subnational entities, can apply for accreditation to the Green Climate Fund.<sup>5</sup>

Entities deemed by the Green Climate Fund Board to be eligible to apply for accreditation under the fast-track process may apply for the fast-track accreditation process. For entities eligible to apply under the fast-track accreditation process, the applicant entity must indicate this eligibility at the beginning of the application when asked.

### **For all entities:**

Please complete all of Section I on the background and contact information, Section II on information on the ways in which the institution and its intended projects/programmes will contribute to furthering the objectives of the Green Climate Fund, and Section III on information on intended projects/programmes and the contribution requested.

For Sections IV, V, VI and VII, the entity should provide a description of the ways in which the organization meets the specific required capabilities, insofar as the capabilities relate to projects/programmes that the applicant entity intends to undertake. The applicant entity may provide documentation in support of their application, which should include its own relevant policies, procedures and track record. Track record should include information on demonstrated evidence of effective implementation of the applicant entity's own policies, procedures and practices through management of projects or programmes but is not limited to climate change-related projects or programmes already undertaken. Information on demonstrated evidence through a track record should be from the past three years with at least three examples required for each item unless otherwise stated in the examples of supporting documentation listed in the application form. The Secretariat (at Stage I, 'institutional assessment and completeness check', in the accreditation process) and the Accreditation Panel (at Stage II 'review')<sup>6</sup> will decide whether the supporting documentation submitted by the applicant entity is deemed sufficient.

### **For entities eligible for fast-track accreditation:**

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<sup>5</sup> Governing Instrument for the Green Climate Fund, available at <[http://gcfund.net/fileadmin/00\\_customer/documents/pdf/GCF-governing\\_instrument-120521-block-LY.pdf](http://gcfund.net/fileadmin/00_customer/documents/pdf/GCF-governing_instrument-120521-block-LY.pdf)>.

<sup>6</sup> Paragraph 34-38 Annex I in document GCF/B.07/11, available at <[http://gcfund.net/fileadmin/00\\_customer/documents/MOB201406-7th/GCF\\_B07\\_Decisions\\_Seventh\\_Meeting\\_fin\\_20140619.pdf](http://gcfund.net/fileadmin/00_customer/documents/MOB201406-7th/GCF_B07_Decisions_Seventh_Meeting_fin_20140619.pdf)>.



The Green Climate Fund has a fast-track accreditation process in order to expedite the accreditation of entities, including subnational, national, regional, and international entities. Entities that have already been accredited by a relevant fund or institution that has an accreditation process, and where the fiduciary and environmental and social standards of the other relevant funds are found to be comparable to the Fund's fiduciary standards and environmental and social safeguards (ESS), are eligible to apply under the fast track accreditation process.<sup>7</sup>

**Entities must select one:**

Accreditation Process

Fast-track Accreditation Process

If this option is selected, the applicant must also select all that apply. Entities accredited by these funds must address any remaining gaps identified in relation to those funds.<sup>8</sup>

Global Environment Facility (GEF)-accredited entities up to 17 October 2014;<sup>9</sup>

Adaptation Fund (AF)-accredited entities up to 17 October 2014;<sup>10</sup> and

Directorate-General Development and Cooperation – EuropeAid of the European Commission (EU DEVCO)-accredited entities up to 17 October 2014.<sup>11</sup>

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<sup>7</sup> Decision B.08/03.

<sup>8</sup> Conditions are identified in paragraphs (e), (f), and (g) of decision B.08/03 for GEF, Adaptation Fund and EU DEVCO, respectively.

<sup>9</sup> Paragraph (e) of decision B.08/03.

<sup>10</sup> Paragraph (f) of decision B.08/03.

<sup>11</sup> Paragraph (g) of decision B.08/03.



## SECTION I: Background and Contact Information of the Applicant Entity

Item	Information Required	Applicability	Input Data	Examples of Supporting Documentation <sup>12</sup>
<b>1.1</b>	<b>Background and Contact Information</b>			
1.1.1	Legal name of the applicant entity	All applicants		<i>For all types of entities:</i> <ul style="list-style-type: none"> <li>• Founding legal document;</li> <li>• Documentation of legal status.</li> </ul>
1.1.2	Type of institution	All applicants	Select all that apply: <input type="checkbox"/> International <input type="checkbox"/> Regional <input type="checkbox"/> National <input type="checkbox"/> Subnational <input type="checkbox"/> Public sector <input type="checkbox"/> Private sector <input type="checkbox"/> Other (please specify): <hr/>	<i>For all types of entities:</i> <ul style="list-style-type: none"> <li>• Evidence demonstrating your type of institution and operations;</li> <li>• Evidence may also have been provided in other items of the application, in which case the text response should refer to the item number, document name, section or page number, etc., if it is located in another item.</li> </ul>
1.1.3	Size of institution	All applicants	Select one: <input type="checkbox"/> 1-10 employees <input type="checkbox"/> 11-50 employees <input type="checkbox"/> 51-200 employees <input type="checkbox"/> 201-500 employees <input type="checkbox"/> 501-1,000 employees <input type="checkbox"/> 1,001-5,000 employees <input type="checkbox"/> 5,001-10,000 employees <input type="checkbox"/> Over 10,000 employees	<i>For all types of entities:</i> <ul style="list-style-type: none"> <li>• List of head count/staff count;</li> <li>• Location of headquarters;</li> <li>• Location(s) of local and/or regional offices.</li> </ul>

<sup>12</sup> Other documentation may be deemed acceptable by the Secretariat and/or the Accreditation Panel.

1.1.4	Core business	All applicants		<p><i>For government ministries, departments, divisions, etc.:</i></p> <ul style="list-style-type: none"> <li>• Scanned copy or extract of the relevant Act, Decree, or other similar document (highlight relevant sections)</li> <li>• Document outlining powers of the Head of the entity and other key/relevant authorities (highlight relevant sections of the document by referring to the section or page number)</li> </ul> <p><i>For incorporated/registered entities, such as private and public sector entities and civil society organizations, etc.:</i></p> <ul style="list-style-type: none"> <li>• Certificate of Incorporation/Registration</li> <li>• Memorandum and Articles of Association, if applicable (highlight relevant sections)</li> <li>• Vision and/or mission statement</li> <li>• Business permit and license to operate</li> </ul> <p><i>For international and regional entities:</i></p> <ul style="list-style-type: none"> <li>• Governing instrument;</li> <li>• Agreement to establish the entity.</li> </ul>
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1.1.5	Sector(s) that the entity operates in		All applicants		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Sectors may include, for example, energy, agriculture, transportation, etc.</li> <li>• Project/programme examples demonstrating operations in the sectors indicated</li> <li>• Evidence may also have been provided in other items of the application, such as in item 1.1.4, in which case the text response should refer to the item number, document name, section or page number, etc. if it is located in another item.</li> </ul>
1.1.6	Registered address, including Country Postal Code		All applicants		<i>Not required</i>
1.1.7	Website		All applicants		<i>Not required</i>
1.1.8	Primary Focal Point	First Name	All applicants		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Official letter from the applicant entity designating the selected person as the Primary Focal Point.</li> <li>• If the person is the same as the one(s) nominated for gaining OAS access, the official letter of OAS request may be provided as evidence.</li> </ul>
1.1.9		Last Name	All applicants		
1.1.10		Position/Title	All applicants		
1.1.11		Email	All applicants		
1.1.12		Telephone	All applicants		
1.1.13		Fax	All applicants		
1.1.14	Secondary Focal Point	First Name	All applicants		<i>For all types of entities:</i>
1.1.15		Last Name	All applicants		



1.1.16		Position/Title	All applicants		<ul style="list-style-type: none"> <li>• Official letter from the applicant entity designating the selected person as the Secondary Focal Point.</li> <li>• If the person is the same as the one(s) nominated for gaining OAS access, the official letter of OAS request may be provided as evidence.</li> </ul>
1.1.17		Email	All applicants		
1.1.18		Telephone	All applicants		
1.1.19		Fax	All applicants		
<b>1.2</b>	<b>Background Information on Track Record</b>				
1.2.1	Type(s) of projects/programmes undertaken	All applicants	<p>Select all that apply:</p> <p>Mitigation:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Energy generation and access</li> <li><input type="checkbox"/> Energy efficiency</li> <li><input type="checkbox"/> Transport</li> <li><input type="checkbox"/> Buildings, cities, industries and appliances</li> <li><input type="checkbox"/> Land use/forestry (REDD+)</li> <li><input type="checkbox"/> Institutional and regulatory systems</li> <li><input type="checkbox"/> Other (please specify): _____</li> </ul> <p>Adaptation:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Enhancing livelihoods</li> <li><input type="checkbox"/> Health and well-being and food and water security</li> <li><input type="checkbox"/> Infrastructure and built environment</li> <li><input type="checkbox"/> Ecosystem and ecosystem services</li> </ul>	<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Information or evidence on projects undertaken in the types selected</li> <li>• Evidence may also have been provided in other items of the application, such as in sections 4, 5, 6 or 7, in which case the text response should refer to the item number, document name, etc. if it is located in another item.</li> </ul>	

			<input type="checkbox"/> Institutional and regulatory systems <input type="checkbox"/> Climate information/early warning systems <input type="checkbox"/> Awareness strengthening and climate risk reduction <input type="checkbox"/> Other (please specify): <hr/> Public/private: <input type="checkbox"/> Public <input type="checkbox"/> Private <input type="checkbox"/> Cross-cutting	
1.2.2	Size(s) of projects/programmes undertaken, including total project costs in US\$ and duration	All applicants		<i>For all types of entities:</i> <ul style="list-style-type: none"> <li>List of projects/programmes undertaken in the past 3 years including project/programme name, sector, total project/programme cost, role and responsibilities of the applicant, contribution to project funding and duration.</li> <li>Evidence may also have been provided in other items of the application, such as in sections 4, 5, 6 or 7, in which case the text response should refer to the item number, document name, section or page number, etc. if it is located in another item.</li> </ul>

1.2.3	Type(s) of financial instrument(s) deployed in projects/programmes undertaken	All applicants	<p>Select all that apply:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Grants</li> <li><input type="checkbox"/> Concessional loans (senior)</li> <li><input type="checkbox"/> Concessional loans (subordinated)</li> <li><input type="checkbox"/> Equity</li> <li><input type="checkbox"/> Guarantees</li> </ul> <p>Please specify what other types of financial instruments you have deployed, if any:</p> <hr/>	<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• List, with scope of each type of financial instruments that the applicant has experience in deploying in projects /programmes undertaken by it;</li> <li>• At least one copy of an agreement for each of the financial instrument(s) deployed in projects/programmes undertaken. For example, if the applicant selects “Grants” indicating that it has experience in deploying grants, a copy of a grant agreement should be provided as evidence of the applicant’s experience with deploying this financial instrument.</li> <li>• Evidence may also have been provided in other items of the application, such as in sections 4, 5, 6 or 7, in which case the text response should refer to the item number, document name, section or page number, etc. if it is located in another item.</li> </ul>
1.2.4	Environmental and social risk level(s) of projects/programmes undertaken	All applicants	Select all that apply:	<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• At least 3 project/programme examples of each environmental</li> </ul>

			<ul style="list-style-type: none"> <li><input type="checkbox"/> Category A / Intermediation 1 (high)<sup>13</sup> directly</li> <li><input type="checkbox"/> Category A / Intermediation 1 (high)<sup>14</sup> indirectly through executing entities</li> <li><input type="checkbox"/> Category B / Intermediation 2 (medium)<sup>15</sup> directly</li> <li><input type="checkbox"/> Category B / Intermediation 2 (medium)<sup>16</sup> indirectly through executing entities</li> <li><input type="checkbox"/> Category C / Intermediation 3 (minimal to none)<sup>17</sup> directly</li> </ul>	<p>and social risk category that has been selected by the applicant;</p> <ul style="list-style-type: none"> <li>• Evidence should indicate how the risk category was identified and assigned to each project/programme provided as supporting document.</li> <li>• Evidence may also have been provided in other items of the application, such as in section 6, in which case the text response should refer to the item number, document name, section or page</li> </ul>
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<sup>13</sup> Refer to document [GCF/B.07/02](#). Category A: Activities with potential significant adverse environmental and/or social risks and/or impacts that are diverse, irreversible, or unprecedented. High level of intermediation (I1): When an intermediary's existing or proposed portfolio includes, or is expected to include, substantial financial exposure to activities with potential significant adverse environmental and/or social risks and/or impacts that are diverse, irreversible, or unprecedented.

<sup>14</sup> Refer to document [GCF/B.07/02](#). Category A: Activities with potential significant adverse environmental and/or social risks and/or impacts that are diverse, irreversible, or unprecedented. High level of intermediation (I1): When an intermediary's existing or proposed portfolio includes, or is expected to include, substantial financial exposure to activities with potential significant adverse environmental and/or social risks and/or impacts that are diverse, irreversible, or unprecedented.

<sup>15</sup> Refer to document [GCF/B.07/02](#). Category B: Activities with potential mild adverse environmental and/or social risks and/or impacts that are few in number, generally site-specific, largely reversible, and readily addressed through mitigation measures. Medium level of intermediation (I2): When an intermediary's existing or proposed portfolio includes, or is expected to include, substantial financial exposure to activities with potential limited adverse environmental or social risks and/or impacts that are few in number, generally-site specific, largely reversible, and readily addressed through mitigation measures; or includes a very limited number of activities with potential significant adverse environmental and/or social risks and/or impacts that are diverse, irreversible, or unprecedented.

<sup>16</sup> Refer to document [GCF/B.07/02](#). Category B: Activities with potential mild adverse environmental and/or social risks and/or impacts that are few in number, generally site-specific, largely reversible, and readily addressed through mitigation measures. Medium level of intermediation (I2): When an intermediary's existing or proposed portfolio includes, or is expected to include, substantial financial exposure to activities with potential limited adverse environmental or social risks and/or impacts that are few in number, generally-site specific, largely reversible, and readily addressed through mitigation measures; or includes a very limited number of activities with potential significant adverse environmental and/or social risks and/or impacts that are diverse, irreversible, or unprecedented.

<sup>17</sup> Refer to document [GCF/B.07/02](#). Category C: Activities with minimal or no adverse environmental and/or social risks and/or impacts. Low level of intermediation – I3: When an intermediary's existing or proposed portfolio includes financial exposure to activities that predominantly have minimal or negligible adverse environmental and/or social impacts.

			<input type="checkbox"/> Category C / Intermediation 3 (minimal to none) <sup>18</sup> indirectly through executing entities	number, etc. if it is located in another item.
1.2.5	Experience and track record with Performance Standards 2-8	All entities	Select those which you have previously implemented: <ul style="list-style-type: none"> <li><input type="checkbox"/> Performance Standard 2 Labour and working conditions</li> <li><input type="checkbox"/> Performance Standard 3 Resource efficiency and pollution prevention</li> <li><input type="checkbox"/> Performance Standard 4 Community health, safety and security</li> <li><input type="checkbox"/> Performance Standard 5 Land acquisition and involuntary resettlement</li> <li><input type="checkbox"/> Performance Standard 6 Biodiversity conservation and sustainable management of living natural resources</li> <li><input type="checkbox"/> Performance Standard 7 Indigenous peoples</li> <li><input type="checkbox"/> Performance Standard 8 Cultural heritage</li> </ul>	<i>For all types of entities:</i> <ul style="list-style-type: none"> <li>• Evidence (e.g. project/programme appraisal report, completion reports, etc.) showing how selected Performance Standards have been managed in projects/programmes undertaken by the applicant.</li> <li>• Evidence may also have been provided in other items of the application, such as in item 1.2.4 and section 6, in which case the text response should refer to the item number, document name, section or page number, etc. if it is located in another item.</li> </ul>
<b>1.3</b>	<b>Background Information on Accreditation by Other Funds or Institutions</b>			
1.3.1	Conditions and limitations, if any, regarding accreditation with the	Entities accredited		<i>For all types of entities:</i>

<sup>18</sup> Refer to document [GCF/B.07/02](#). Category C: Activities with minimal or no adverse environmental and/or social risks and/or impacts. Low level of intermediation – I3: When an intermediary’s existing or proposed portfolio includes financial exposure to activities that predominantly have minimal or negligible adverse environmental and/or social impacts.

	Global Environment Facility (GEF), Adaptation Fund (AF), and Directorate-General Development and Cooperation – EuropeAid of the European Commission (EU DEVCO)	under GEF, AF and EU DEVCO as of 17 October 2014		<ul style="list-style-type: none"> <li>• Decisions on accreditation, which can include publicly available information or documents;</li> <li>• Letter or other documented form of confirmation of accreditation;</li> <li>• List of conditions and/or limitations, if any, at the time of accreditation.</li> </ul>
1.3.2	Status of compliance with accreditation requirements of the Global Environment Facility (GEF), Adaptation Fund (AF), and Directorate-General Development and Cooperation – EuropeAid of the European Commission (EU DEVCO)	Entities accredited under GEF, AF and EU DEVCO as of 17 October 2014		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Letter, report or other form of documentation indicating status of compliance with the accreditation requirements of GEF, AF, and/or EU DEVCO, as applicable, regarding conditions stipulated, if any, at the time of accreditation.</li> </ul>



**SECTION II: Information on the ways in which the institution and its intended activities will contribute to furthering the objectives of the Green Climate Fund**

Item	Information Required	Applicability	Input Data	Examples of Supporting Documentation <sup>19</sup>
2	<p>Given the urgency and seriousness of climate change, the purpose of the Fund is to make a significant and ambitious contribution to the global efforts towards attaining the goals set by the international community to combat climate change.</p> <p>The Fund will contribute to the achievement of the ultimate objective of the United Nations Framework Convention on Climate Change (UNFCCC). In the context of sustainable development, the Fund will promote the paradigm shift towards low emission and climate-resilient development pathways by providing support to developing countries to limit or reduce their greenhouse gas emissions and to adapt to the impacts of climate change, taking into account the needs of the developing countries particularly vulnerable to the adverse effects of climate change.</p>			
2.1	A statement detailing the ways in which the entity will contribute to furthering the objectives of the Green Climate Fund. <sup>20</sup>	All applicants		<i>Not required</i>
2.2	A statement on how the entity intends to strengthen capacities of or otherwise support potential subnational, national and regional implementing entities and intermediaries in order to meet, at the earliest opportunity, the accreditation requirements of the Green	<p>Required for entities under international access track</p> <p>Optional for all other entities</p>		<i>Not required</i>

<sup>19</sup> Other documentation may be deemed acceptable by the Secretariat and/or the Accreditation Panel.

<sup>20</sup> Governing Instrument for the Green Climate Fund, available at <[http://gcfund.net/fileadmin/00\\_customer/documents/pdf/GCF-governing\\_instrument-120521-block-LY.pdf](http://gcfund.net/fileadmin/00_customer/documents/pdf/GCF-governing_instrument-120521-block-LY.pdf)>.



	Climate Fund in order to enhance country ownership			
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### SECTION III: Intended Scope of Projects/Programmes and Estimated Contribution Requested

Item	Information Required	Applicability	Input Data	Examples of Supporting Documentation <sup>21</sup>
3.1	Theme(s) of intended projects/programmes	All applicants	Select all that apply: <input type="checkbox"/> Mitigation <input type="checkbox"/> Adaptation <input type="checkbox"/> Cross-cutting (both mitigation and adaptation in an individual project/programme)	<i>Not required</i>
3.2	Type(s) of intended projects/programmes	All applicants	Select all that apply: <b>Mitigation:</b> <input type="checkbox"/> Energy generation and access <input type="checkbox"/> Energy efficiency <input type="checkbox"/> Transport <input type="checkbox"/> Buildings, cities, industries and appliances <input type="checkbox"/> Land use/forestry (REDD+) <input type="checkbox"/> Institutional and regulatory systems <input type="checkbox"/> Other (please specify): _____  <b>Adaptation:</b> <input type="checkbox"/> Enhancing livelihoods <input type="checkbox"/> Health and well-being and food and water security <input type="checkbox"/> Infrastructure and built environment <input type="checkbox"/> Ecosystem and ecosystem services <input type="checkbox"/> Institutional and regulatory systems <input type="checkbox"/> Climate information/early warning systems	<i>Not required</i>

<sup>21</sup> Other documentation may be deemed acceptable by the Secretariat and/or the Accreditation Panel.

			<input type="checkbox"/> Awareness strengthening and climate risk reduction <input type="checkbox"/> Other (please specify): _____  Public/private: <input type="checkbox"/> Public <input type="checkbox"/> Private <input type="checkbox"/> Cross-cutting	
3.3	Size(s) of intended projects/programmes, including duration	All applicants	Select all that apply: <sup>22</sup> <input type="checkbox"/> Micro (maximum total projected costs at the time of application, irrespective of the portion that is funded by the Green Climate Fund, of up to and including US\$10 million for an individual project or an activity within a programme) and duration: _____; <input type="checkbox"/> Small (maximum total projected costs at the time of application, irrespective of the portion that is funded by the Green Climate Fund, of above US\$10 million and up to and including US\$50 million for an individual project or an activity within a programme) and duration: _____; <input type="checkbox"/> Medium (maximum total projected costs at the time of application, irrespective of the portion that is funded by the Green Climate Fund, of above US\$50 million and up to and including US\$250 million for an individual	<i>Not required</i>

<sup>22</sup> Annex I of decision B.08/02.

			project or an activity within a programme) and duration: _____; and <input type="checkbox"/> Large (total projected costs at the time of application, irrespective of the portion that is funded by the Green Climate Fund, of above US\$250 million for an individual project or an activity within a programme) and duration: _____.	
3.4	Estimated maximum contribution amount at the time of application for an individual project or an activity within a programme to be requested from the Green Climate Fund (US\$ or as a percentage of total projected costs)	All applicants		<i>Not required</i>
3.5	Type(s) of financial instrument(s) for intended projects/programmes to be requested from the Green Climate Fund	All applicants	Select all that apply: The following requires accreditation against the specialized fiduciary criteria for grant award and/or funding allocation mechanisms: <sup>23</sup> <input type="checkbox"/> Grants (in some cases this may be reimbursable)	<i>Not required</i>

<sup>23</sup> For more information on the Green Climate Fund's specialized fiduciary standards refer to Annex II of document GCF/B.07/11, available at <[http://gcfund.net/fileadmin/00\\_customer/documents/MOB201406-7th/GCF\\_B07\\_Decisions\\_Seventh\\_Meeting\\_fin\\_20140619.pdf](http://gcfund.net/fileadmin/00_customer/documents/MOB201406-7th/GCF_B07_Decisions_Seventh_Meeting_fin_20140619.pdf)>.



			<p>The following require accreditation against Specialized fiduciary criteria for on-lending and/or blending:<sup>24</sup></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Concessional loans (senior)</li> <li><input type="checkbox"/> Concessional loans (subordinated)</li> <li><input type="checkbox"/> Equity</li> <li><input type="checkbox"/> Guarantees</li> </ul> <p>Please specify what other types of financial instruments you are interested in, if any:</p> <p>_____</p>	
3.6	Sources and types of additional finance for intended activities (if applicable), and how the sources and types of other finance will be applied	All applicants		<i>Not required</i>
3.7	Indication of the Green Climate Fund's standards against which the application will be assessed	All applicants	<p>Select all that apply:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Basic fiduciary criteria<sup>25</sup>, ESS<sup>26</sup> and gender</li> <li><input type="checkbox"/> Specialized fiduciary criteria for project management<sup>27</sup></li> </ul>	<i>Not applicable</i>

<sup>24</sup> For more information on the Green Climate Fund's specialized fiduciary standards refer to Annex II of document GCF/B.07/11, available at <[http://gcfund.net/fileadmin/00\\_customer/documents/MOB201406-7th/GCF\\_B07\\_Decisions\\_Seventh\\_Meeting\\_fin\\_20140619.pdf](http://gcfund.net/fileadmin/00_customer/documents/MOB201406-7th/GCF_B07_Decisions_Seventh_Meeting_fin_20140619.pdf)>.

<sup>25</sup> For more information on the Green Climate Fund's basic and specialized fiduciary standards refer to Annex II of document GCF/B.07/11, available at <[http://gcfund.net/fileadmin/00\\_customer/documents/MOB201406-7th/GCF\\_B07\\_Decisions\\_Seventh\\_Meeting\\_fin\\_20140619.pdf](http://gcfund.net/fileadmin/00_customer/documents/MOB201406-7th/GCF_B07_Decisions_Seventh_Meeting_fin_20140619.pdf)>.

<sup>26</sup> For more information on the Green Climate Fund's environmental and social safeguards refer to Annex III of document GCF/B.07/11, available at <[http://gcfund.net/fileadmin/00\\_customer/documents/MOB201406-7th/GCF\\_B07\\_Decisions\\_Seventh\\_Meeting\\_fin\\_20140619.pdf](http://gcfund.net/fileadmin/00_customer/documents/MOB201406-7th/GCF_B07_Decisions_Seventh_Meeting_fin_20140619.pdf)>.

<sup>27</sup> For more information on the Green Climate Fund's specialized fiduciary standards refer to Annex II of document GCF/B.07/11, available at <[http://gcfund.net/fileadmin/00\\_customer/documents/MOB201406-7th/GCF\\_B07\\_Decisions\\_Seventh\\_Meeting\\_fin\\_20140619.pdf](http://gcfund.net/fileadmin/00_customer/documents/MOB201406-7th/GCF_B07_Decisions_Seventh_Meeting_fin_20140619.pdf)>.



			<input type="checkbox"/> Specialized fiduciary criteria for grant award and/or funding allocation mechanisms <sup>28</sup> <input type="checkbox"/> Specialized fiduciary criteria for on-lending and/or blending <sup>29</sup>	
3.8	Environmental and social risk level(s) of intended activities	All applicants	Select all that apply: <input type="checkbox"/> Category A / Intermediation 1 (high) <sup>30</sup> directly <input type="checkbox"/> Category A / Intermediation 1 (high) <sup>31</sup> indirectly through executing entities <input type="checkbox"/> Category B / Intermediation 2 (medium) <sup>32</sup> directly	<i>Not required</i>

<sup>28</sup> For more information on the Green Climate Fund’s specialized fiduciary standards refer to Annex II of document GCF/B.07/11, available at <[http://gcfund.net/fileadmin/00\\_customer/documents/MOB201406-7th/GCF\\_B07\\_Decisions\\_Seventh\\_Meeting\\_fin\\_20140619.pdf](http://gcfund.net/fileadmin/00_customer/documents/MOB201406-7th/GCF_B07_Decisions_Seventh_Meeting_fin_20140619.pdf)>.

<sup>29</sup> For more information on the Green Climate Fund’s specialized fiduciary standards refer to Annex II of document GCF/B.07/11, available at <[http://gcfund.net/fileadmin/00\\_customer/documents/MOB201406-7th/GCF\\_B07\\_Decisions\\_Seventh\\_Meeting\\_fin\\_20140619.pdf](http://gcfund.net/fileadmin/00_customer/documents/MOB201406-7th/GCF_B07_Decisions_Seventh_Meeting_fin_20140619.pdf)>.

<sup>30</sup> Refer to document GCF/B.07/02, available at <[http://gcfund.net/fileadmin/00\\_customer/documents/MOB201406-7th/GCF\\_B07\\_Decisions\\_Seventh\\_Meeting\\_fin\\_20140619.pdf](http://gcfund.net/fileadmin/00_customer/documents/MOB201406-7th/GCF_B07_Decisions_Seventh_Meeting_fin_20140619.pdf)>. Category A: Activities with potential significant adverse environmental and/or social risks and/or impacts that are diverse, irreversible, or unprecedented. High level of intermediation (I1): When an intermediary’s existing or proposed portfolio includes, or is expected to include, substantial financial exposure to activities with potential significant adverse environmental and/or social risks and/or impacts that are diverse, irreversible, or unprecedented.

<sup>31</sup> Refer to document GCF/B.07/02, available at <[http://gcfund.net/fileadmin/00\\_customer/documents/MOB201406-7th/GCF\\_B07\\_Decisions\\_Seventh\\_Meeting\\_fin\\_20140619.pdf](http://gcfund.net/fileadmin/00_customer/documents/MOB201406-7th/GCF_B07_Decisions_Seventh_Meeting_fin_20140619.pdf)>. Category A: Activities with potential significant adverse environmental and/or social risks and/or impacts that are diverse, irreversible, or unprecedented. High level of intermediation (I1): When an intermediary’s existing or proposed portfolio includes, or is expected to include, substantial financial exposure to activities with potential significant adverse environmental and/or social risks and/or impacts that are diverse, irreversible, or unprecedented.

<sup>32</sup> Refer to document GCF/B.07/02, available at <[http://gcfund.net/fileadmin/00\\_customer/documents/MOB201406-7th/GCF\\_B07\\_Decisions\\_Seventh\\_Meeting\\_fin\\_20140619.pdf](http://gcfund.net/fileadmin/00_customer/documents/MOB201406-7th/GCF_B07_Decisions_Seventh_Meeting_fin_20140619.pdf)>. Category B: Activities with potential mild adverse environmental and/or social risks and/or impacts that are few in number, generally site-specific, largely reversible, and readily addressed through mitigation measures. Medium level of intermediation (I2): When an intermediary’s existing or proposed portfolio includes, or is expected to include, substantial financial exposure to activities with potential limited adverse environmental or social risks and/or impacts that are few in number, generally-site specific, largely reversible, and readily addressed through mitigation measures; or includes a very limited number of activities with potential significant adverse environmental and/or social risks and/or impacts that are diverse, irreversible, or unprecedented.



			<input type="checkbox"/> Category B / Intermediation 2 (medium) <sup>33</sup> indirectly through executing entities <input type="checkbox"/> Category C / Intermediation 3 (minimal to none) <sup>34</sup> directly <input type="checkbox"/> Category C / Intermediation 3 (minimal to none) <sup>35</sup> indirectly through executing entities	
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<sup>33</sup> Refer to document GCF/B.07/02, available at <[http://gcfund.net/fileadmin/00\\_customer/documents/MOB201406-7th/GCF\\_B07\\_Decisions\\_Seventh\\_Meeting\\_fin\\_20140619.pdf](http://gcfund.net/fileadmin/00_customer/documents/MOB201406-7th/GCF_B07_Decisions_Seventh_Meeting_fin_20140619.pdf)>. Category B: Activities with potential mild adverse environmental and/or social risks and/or impacts that are few in number, generally site-specific, largely reversible, and readily addressed through mitigation measures. Medium level of intermediation (I2): When an intermediary's existing or proposed portfolio includes, or is expected to include, substantial financial exposure to activities with potential limited adverse environmental or social risks and/or impacts that are few in number, generally-site specific, largely reversible, and readily addressed through mitigation measures; or includes a very limited number of activities with potential significant adverse environmental and/or social risks and/or impacts that are diverse, irreversible, or unprecedented.

<sup>34</sup> Refer to document GCF/B.07/02, available at <[http://gcfund.net/fileadmin/00\\_customer/documents/MOB201406-7th/GCF\\_B07\\_Decisions\\_Seventh\\_Meeting\\_fin\\_20140619.pdf](http://gcfund.net/fileadmin/00_customer/documents/MOB201406-7th/GCF_B07_Decisions_Seventh_Meeting_fin_20140619.pdf)>. Category C: Activities with minimal or no adverse environmental and/or social risks and/or impacts. Low level of intermediation – I3: When an intermediary's existing or proposed portfolio includes financial exposure to activities that predominantly have minimal or negligible adverse environmental and/or social impacts.

<sup>35</sup> Refer to document GCF/B.07/02, available at <[http://gcfund.net/fileadmin/00\\_customer/documents/MOB201406-7th/GCF\\_B07\\_Decisions\\_Seventh\\_Meeting\\_fin\\_20140619.pdf](http://gcfund.net/fileadmin/00_customer/documents/MOB201406-7th/GCF_B07_Decisions_Seventh_Meeting_fin_20140619.pdf)>. Category C: Activities with minimal or no adverse environmental and/or social risks and/or impacts. Low level of intermediation – I3: When an intermediary's existing or proposed portfolio includes financial exposure to activities that predominantly have minimal or negligible adverse environmental and/or social impacts.

## SECTION IV: Basic fiduciary criteria

Item	Area of competence	Specific Capacity Required	Applicability	Input Data	Examples of Supporting Documentation <sup>36</sup>
4.1	<b>Key administrative and financial capacities<sup>37</sup></b>				
	Underlying principles for key administrative and financial capacities are (this list is not exhaustive): financial inputs and outputs are properly accounted for, reported, and administered transparently in accordance with pertinent regulations and laws, and with due accountability; information relating to the overall administration and management of the entity is available, consistent, reliable, complete and relevant to the required fiduciary standards; and operations of the entity show a track record in effectiveness and efficiency.				
4.1.1	General management and administrative capacities	A clearly defined governance and oversight structure that formally defines the roles, responsibilities and assigned authority of each functional area and individual in the organization; track record in the preparation of business plans and budgets	All applicants		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Organizational chart which includes:               <ol style="list-style-type: none"> <li>i) Clear reporting structure for Finance, Internal Audit, Procurement and other key functions;</li> <li>ii) Reporting structure of the Audit Committee and other senior management committees/governance bodies;</li> </ol> </li> <li>• List of internal oversight bodies/committees along with:               <ol style="list-style-type: none"> <li>i) Terms of Reference (TOR) and composition of each committee;</li> <li>ii) A copy of the rules regarding the appointment, termination and remuneration of members of such committees;</li> </ol> </li> </ul>

<sup>36</sup> Other documentation may be deemed acceptable by the Secretariat and/or the Accreditation Panel.

<sup>37</sup> Annex II of document GCF/B.07/11, available at <[http://gcfund.net/fileadmin/00\\_customer/documents/MOB201406-7th/GCF\\_B07\\_Decisions\\_Seventh\\_Meeting\\_fin\\_20140619.pdf](http://gcfund.net/fileadmin/00_customer/documents/MOB201406-7th/GCF_B07_Decisions_Seventh_Meeting_fin_20140619.pdf)>.

					<ul style="list-style-type: none"> <li>• Document describing the entity’s processes for setting long term and short term objectives including the alignment of the objectives/plans with its mission;</li> <li>• Copy of current strategic/medium term plan: the plan should also define indicators/metrics for all key organisational objectives. If organisational objectives are further set in terms of departmental/division level objectives, details of such deployment should also be provided. If current plan period is coming to an end within the next 6 months, please provide a copy of next plan;             <ul style="list-style-type: none"> <li>i) <i>For private sector entities:</i> Evidence of ability to develop annual/strategic/medium term plan, including demonstrated evidence of implementation of this plan from the past 3 years</li> </ul> </li> <li>• Copy of the previous 1 year and current year’s annual plans and budgets;</li> <li>• Document describing how the entity’s long and short term plans, objectives and budgets enable the entity to achieve its mission;</li> <li>• Brief write up on processes/ procedures and responsibilities for monitoring and reporting on progress made in attainment of set objectives including adherence to budgets.</li> </ul>
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					<ul style="list-style-type: none"> <li>• 2 annual or half-yearly reports containing periodic evaluation of achievement of organisational objectives and analysis expenditures to be provided as evidence that such evaluation is undertaken and the results thereof, are published.</li> <li>i) <i>For small private sector entities</i> A summary of the achievement of annual objectives and goals for the last two years.</li> </ul>
4.1.2	Financial management and accounting	Periodic preparation and reporting of financial statements in accordance with recognized accounting standards.	All applicants		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Financial Statements for the past 3 years. The Statements should include: <ul style="list-style-type: none"> <li>i) Notes and disclosures explaining the accounting framework/standard used, the basis of preparation of the financial statements, and the specific accounting policies, if any;</li> <li>ii) A statement of changes in financial position covering Capital, Reserves, Debt, Assets, Project/Endowment Fund Balances, etc.;</li> <li>iii) A statement of cash flows;</li> </ul> </li> <li>• Brief details of the Financial Information Systems including a list of major reports prepared and the periodicity of the reports;</li> <li>• Copies of recent reports prepared as a part of the entity's Financial Information System.</li> </ul>
4.1.3	Internal and external audit	Fully functional independent audit committee; the	All applicants		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Terms of Reference for the external audit for the years for which the audit reports</li> </ul>

		<p>internal audit function is carried out in accordance with internationally recognized standards; appointment of an independent external audit firm to carry out its work in accordance with internationally recognized standards</p>			<p>have been provided. The entity in its text response or the ToRs to be provided as supporting documents should clearly indicate that the work of the external audit firm or organization should be consistent with recognized international auditing standards such as International Standards on Auditing (ISA), or other equivalent standards;</p> <ul style="list-style-type: none"> <li>• Schedule/dates of meetings of the Audit Committee held over the past 2 years;</li> <li>• Agenda and minutes of the past 2 Audit Committee meetings;</li> <li>• Internal Audit policy/charter/ToRs which are formally approved by management;</li> <li>• Evidence that the internal audit function is carried out in accordance with internationally recognized standards such as those prescribed by the Institute of Internal Auditors or other equivalent standards;</li> <li>• Brief details of the structure of the internal audit function including qualifications and experience of the auditors. Entity should also provide information on how it ensures that the auditors adhere to recognised internal auditing standards including principles of integrity, objectivity and confidentiality;</li> <li>• Copy of internal audit procedures/manual;</li> <li>• Internal Audit plans for each of the past 3 years;</li> </ul>
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					<ul style="list-style-type: none"> <li>• Status of execution of the past 3 years' internal audit plans;</li> <li>• Sample of internal audit reports in the past 3 years, including those relating to procurement, internal control systems and payments and disbursements, if available along with information on how these reports are disseminated to relevant people within the entity;</li> <li>• Brief details of the process to monitor and assess the overall effectiveness of the internal audit functions, including periodic internal and external quality assessments, including a copy of such assessment reports;</li> <li>• Complete external audit reports, including management letters, for the past 3 years, if not included in the financial statements provided at Section 4.1.2;</li> <li>• Status of action taken in respect of all the observations/ recommendations contained in the external and internal audit reports of the past 3 years including acceptance/sign-off of closures by the external/internal auditors.             <ul style="list-style-type: none"> <li>i) <i>For private sector entities/financial institutions</i> A recent Regulator's Examination Report, including an action plan in response to the Regulator's recommendations</li> </ul> </li> </ul>
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4.1.4	Control frameworks	Documented processes in place to ensure that objectives are achieved, including verification that operations are carried out effectively, financial risks are assessed and managed, and proper financial management is carried out	All applicants		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Financial control policy;</li> <li>• Financial control procedures;</li> <li>• The above policies and procedures should provide evidence of/demonstrate the following: <ul style="list-style-type: none"> <li>i) A control framework that includes clearly defined roles for management, internal auditors, the board of directors or comparable body, and other personnel (including fiscal agents and fiduciary trustees, if any involved) with respect to Internal Control;</li> <li>ii) At the institutional level, risk-assessment processes are in place to identify, assess, analyze and provide a basis for proactive risk responses/mitigating actions in identified areas;</li> <li>iii) Existence of a documented payment and disbursement system (policies, procedures and Delegation of Authority) preferably with a flow chart. The system should provide for a clear segregation of approval and disbursement responsibility/authority including the organization's capability to ensure that all payments/ disbursements (both for projects and other expenditures) are properly checked and made only for bona-fide/approved purposes.</li> </ul> </li> </ul>
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					<p>iv) Evidence of system/procedures for identifying and assessing the details and adequacy of the internal controls annually. This assessment should also cover a regular review by management to check if duties are appropriately segregated to ensure adequate internal control in all key/risk areas.</p> <ul style="list-style-type: none"> <li>• The applicant should provide recent reports/documents/information as evidence of its effective implementation of the Internal Control Framework as defined above</li> </ul>
4.1.5	Procurement	Formal procurement standards, guidelines and systems in place to ensure fair and transparent procurement processes	All applicants		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Copy of the entity's Procurement Policy/Rules/Regulations/Guidelines (approved by management) which are transparent and fair and promote economy and efficiency in procurement, specify procurement requirements, accountability, and authority to take procurement decisions/actions;</li> <li>• Detailed procurement procedures, which include details of composition and role of various committees, such as the Procurement Committee Tender Evaluation Committee, etc. and guidelines for different types of procurement managed by the entity, such as consultants/service providers, goods/supplies and works;</li> </ul>

					<ul style="list-style-type: none"> <li>• System/procedures for oversight/review/audit of the entity's procurement function;</li> <li>• Procedures for controlling procurement by third parties or Executing Agencies undertaking projects financed by the entity;</li> <li>• Copy of the Procurement dispute resolution process, if not already included in or separate from the Policy or Procedures referred to above;</li> <li>• As evidence of compliance with the established policies and guidelines, the following documents/information should be provided:             <ul style="list-style-type: none"> <li>i) 2 sets of documents pertaining to large procurements undertaken in the past 3 years;</li> <li>ii) A sample of procurement oversight/audit reports, both for the entity and Executing Agencies;</li> <li>iii) Data on procurement complaints handled in the past 3 years along with brief details of sample cases and their closure.</li> </ul> </li> </ul>
<b>4.2</b>	<b>Transparency and accountability<sup>38</sup></b>				<p>Transparency and accountability are to be demonstrated through an effective combination of fully functional policies, procedures, systems and approaches. The underlying principles are: protection and commitment against mismanagement and</p>

<sup>38</sup> Annex II of document GCF/B.07/11, available at <[http://gcfund.net/fileadmin/00\\_customer/documents/MOB201406-7th/GCF\\_B07\\_Decisions\\_Seventh\\_Meeting\\_fin\\_20140619.pdf](http://gcfund.net/fileadmin/00_customer/documents/MOB201406-7th/GCF_B07_Decisions_Seventh_Meeting_fin_20140619.pdf)>.

	fraudulent, corrupt and wasteful practices; disclosure of any form of conflict of interest (actual, potential or perceived); and code of ethics, policies and culture that drive and promote full transparency and accountability.			
4.2.1	Code of ethics	A documented code of ethics or a set of clear and formal management policies in place to define ethical standards to be upheld by all individuals contracted or functionally related to the organization	All applicants	<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Code of Ethics, which is documented and applicable to the staff and associates like consultants, contractors, suppliers, etc.;</li> <li>• Documented evidence of a contractual nature that communicates this policy to all staff and other parties functionally related to the organisation, with evidence of such communication;</li> <li>• Brief description of the system for oversight of the Ethics Function, including the role of the Ethics Committee or other relevant bodies/committees within the organization to whom such functions have been allocated. This should be supported by evidence that the oversight system is functioning.</li> </ul>
4.2.2	Disclosure of conflicts of interest	A disclosure policy or equivalent in place to establish the necessary mandatory financial disclosures of possible, actual, perceived or apparent conflicts of interest	All applicants	<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Financial disclosure policy or other documented policy statement which defines possible, actual, perceived or apparent conflicts of interest including what constitutes conflict of interest or prohibited personal financial interests and also defines the sanction measures for parties which do not disclose such conflicts on a proactive basis;</li> <li>• Conflict of interest review and resolution procedures;</li> </ul>

					<ul style="list-style-type: none"> <li>• Demonstration of practice, through sample statements of annual disclosure of interest statements by employees or disclosure in respect of specific cases/instances;</li> <li>• 2 actual examples of conflict of interest cases that were identified/reported and how these were dealt with.</li> </ul>
4.2.3	Preventing financial mismanagement	Demonstrated experience and track record in accessing financial resources from national and international sources; Evidence of a policy of zero tolerance for fraud, financial mismanagement and other forms of malpractice by staff members, consultants, contractors, etc.	All applicants		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Policy on financial management or some other document which describes the various malpractices which may occur and also planned prevention strategies;</li> <li>• Evidence of a statement from top management communicating a policy of zero tolerance for fraud, financial mismanagement and other forms of malpractice by staff members, consultants, contractors, or from any other relevant party associated directly or indirectly with the operations of the entity;</li> <li>• Process/avenues for reporting fraud, financial mismanagement and other forms of misconduct (these should include placement of a provision for reporting violations on the entity's website);</li> <li>• Policies and procedures for whistle blower protection.</li> </ul>
4.2.4	Investigations	Evidence of an independent and objective investigation function for allegations	All applicants		<p><i>For all types of entities:</i></p> <p><i>(Note: all entities should always be able to demonstrate that the investigations function is executed within the organization and that it is</i></p>



		<p>of fraud and corruption, with publicly available terms of reference</p>			<p><i>independent and has access to report findings to the highest levels of the organization, if needed)</i></p> <ul style="list-style-type: none"> <li>• Evidence that the organisation’s investigation function has publicly available terms of reference that outline the purpose, authority and accountability of the function;</li> <li>• Details of the investigations structure within the organisation. Also, how does the organisation ensure the independence/authority of the investigation structure and process; Procedures for investigating fraud and corruption within the entity. This should include information on periodic reporting to management/Board on case trends/status of investigations. As evidence sample status reports should be provided;</li> <li>• In case the organisation’s investigation function is linked to an outside investigation system (for example the national/government investigation function), please provide the following information:             <ul style="list-style-type: none"> <li>i) Details of the outside system including key procedures and authority levels;</li> <li>ii) Procedure followed within the entity, on receipt of any allegation, before the allegation is reported to or lodged with the outside system for carrying out the investigation;</li> </ul> </li> </ul>
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					<ul style="list-style-type: none"> <li>Information on cases of violation of code of ethics, fraud or corruption in the past 3 years, and on how such cases were disposed of.</li> </ul>
4.2.5	Anti-money laundering and anti-terrorist financing policies	Evidence of adequate control and procedures in place to enable the applicant entity to carry out adequate “Know your customer” due diligence	All applicants		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>Anti-money laundering (AML) and anti-terrorist (AT) financing policy;</li> <li>“Know your customer (KYC)” due diligence procedures to combat money laundering and financing of terrorism;</li> <li>2 copies of reports on KYC due diligence exercises carried out in the past 3 years;</li> <li>Mechanisms to trace/monitor electronic transfer/wiring of funds;</li> <li>2 copies of monitoring reports on electronic funds transfer prepared in the past 3 years.</li> </ul> <p>i) <i>For private sector entities:</i> Reports from regulators or periodic examinations by regulators evaluating the robustness of the KYC/AML-AT function</p>

## Section V: Specialized fiduciary criteria

Item	Area of competence	Specific Capacity Required	Applicability	Input Data	Examples of Supporting Documentation <sup>39</sup>
5.1	<b>Project management<sup>40</sup></b>				
	Project management underlying principles are: ability to identify, formulate and appraise projects or programmes; competency to manage or oversee the execution of approved funding proposals, including the ability to manage executing entities or project sponsors and to support project delivery and implementation; and capacity to consistently and transparently report on the progress, delivery and implementation of the approved funding proposal.				
5.1.1	Project identification, preparation and appraisal	Track record of capability and experience in the identification and design of projects or programmes within the respective jurisdiction; Documented process for project appraisal to ensure quality and monitoring of follow-up actions during implementation	Required for applicants seeking project management accreditation		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Project preparation guidelines/framework, including templates/formats and roles responsibilities thereof;</li> <li>• Project appraisal guidelines /framework, including templates/formats and roles responsibilities in project appraisal;</li> <li>• Policy or other document that outlines the entity's risk assessment procedures/framework, including preparation of risk mitigation strategies/plans at the project design and appraisal stages;</li> <li>• Framework/guidelines/procedures for undertaking Quality Review during project preparation and appraisal process. This review should also identify areas which</li> </ul>

<sup>39</sup> Other documentation may be deemed acceptable by the Secretariat and/or the Accreditation Panel.

<sup>40</sup> Annex II of document GCF/B.07/11, available at <[http://gcfund.net/fileadmin/00\\_customer/documents/MOB201406-7th/GCF\\_B07\\_Decisions\\_Seventh\\_Meeting\\_fin\\_20140619.pdf](http://gcfund.net/fileadmin/00_customer/documents/MOB201406-7th/GCF_B07_Decisions_Seventh_Meeting_fin_20140619.pdf)>.

					<p>require monitoring/follow-up actions during implementation;</p> <ul style="list-style-type: none"> <li>3 examples of project appraisals undertaken in the past 3 years (preferably climate change mitigation or adaptation projects) demonstrating the capacity to: <ul style="list-style-type: none"> <li>i) Effectively use the organization's guidelines for project preparation and appraisal;</li> <li>ii) Mainstream environmental, social and climate change aspects into project preparation and appraisal;</li> <li>iii) Demonstrate use of the Risk assessment procedures/framework for project risks and integrate corresponding mitigation strategies;</li> <li>iv) Demonstrate entity's capacity to assess and incorporate technical, financial, economic and legal impacts of the project at the preparation and appraisal stage itself;</li> <li>v) Incorporate outcomes of the Quality reviews undertaken during the design and appraisal stages in the project document. Alternatively, separate quality review reports should be provided for each project.</li> </ul> </li> </ul>
5.1.2	Project oversight and control	Operational capacity and procedures to oversee the implementation of	Required for applicants seeking project		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>Copy of the entity's Operational manual/procedures covering preparation of project implementation plans, including</li> </ul>

		the approved funding proposal, monitor performance and assess project expenditure against project budget; appropriate reporting capabilities	management accreditation		<p>project budgets, reporting guidelines and templates to be used by executing entities or project sponsors;</p> <ul style="list-style-type: none"> <li>• Implementation plans (which include project implementation plans, monthly/quarterly/annual project budgets, reporting guidelines and templates) for 2 projects undertaken in the past 2 years;</li> <li>• 3 detailed project implementation progress reports for projects implemented in the past 3 years which demonstrate the entity's operational capacity and organizational arrangements to continuously oversee the implementation of the approved funding proposal in order to regularly assess project progress vis-à-vis plans, expenditure against project budget as well as to monitor and identify opportunities for improving project performance against its budget and timelines.</li> </ul>
5.1.3	Monitoring and evaluation	Capacities for monitoring and evaluation including a clearly defined and resourced monitoring function and an independent evaluation body or function that follows	Required for applicants seeking project management accreditation		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Policy and/or other documents outlining the entity's Monitoring and Evaluation function (including structure of the monitoring and evaluation unit, roles and responsibilities, procedures/tools/formats/templates);</li> <li>• 3 sample monitoring and evaluation reports relating to monitoring during</li> </ul>

		<p>documented and recognized standards; an evaluation disclosure policy is in place</p>			<p>project implementation which demonstrate entity's capacity to:</p> <ul style="list-style-type: none"> <li>i) undertake effective monitoring and evaluation in accordance with its policies and procedures;</li> <li>ii) undertake analysis of project expenditure compared to the project budget and a brief explanation of major variances;</li> <li>iii) monitor implementation of actions, if any, identified for the implementation phase during the Quality review;</li> </ul> <ul style="list-style-type: none"> <li>• Project Evaluation disclosure policy;</li> <li>• Policies and procedures which outline the entity's activities relating to project closure and independent evaluation, including reporting on results achieved, lessons learned and recommendations for improvement, dissemination of results and making key findings publicly available;</li> <li>• Sample Terms of Reference of independent evaluation body/consultant;</li> <li>• 3 independent evaluation/project closure reports in respect of projects completed in the past 3 years along with evidence that the evaluation results were published as per the Project Evaluation Disclosure Policy.</li> </ul>
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5.1.4	Project-at-risk systems and related project risk management capabilities	A process or system in place to flag early on when a project has developed problems that may interfere with the achievement of its objectives, and to respond accordingly to redress the problems	Required for applicants seeking project management accreditation		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Procedures for project-at-risk system to ensure speedy solutions to problems which may interfere with the achievement of the project objectives or lead to unintended negative consequences;</li> <li>• Examples of project problems addressed to demonstrate effectiveness of the system.</li> </ul>
5.2	<b>Grant award and/or funding allocation mechanisms<sup>41</sup></b>				
	Specific capacities for grant award and funding allocation mechanisms of grants in the context of programmes require transparent eligibility criteria and an evaluation process, a grant award decision and procedures, public access to information on beneficiaries and results, transparent allocation and implementation of financial resources, and a good standing with regard to multilateral funding.				
5.2.1	Grant award procedures	A transparent grant award mechanism with formally documented procedures for evaluating proposals and awarding grants, and clearly defined eligibility criteria; Grant award decisions taken by	Required for applicants seeking grant award and/or funding allocation mechanism accreditation	Sample grant notices/call for proposals provided are comprehensive and the criteria for exclusion, eligibility, selection and awards is included in the	<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Composition and Terms of Reference of the Grant award Evaluation Committee;</li> <li>• Grant award evaluation system/process/procedures with clearly defined roles and responsibilities including those of the Grant Evaluation Committee and the Grant Approval Authority;</li> <li>• Samples of recent grant notices/calls for proposals with information on how these were publicised;</li> </ul>

<sup>41</sup> Refer to Annex II of document GCF/B.07/11, available at <[http://gcfund.net/fileadmin/00\\_customer/documents/MOB201406-7th/GCF\\_B07\\_Decisions\\_Seventh\\_Meeting\\_fin\\_20140619.pdf](http://gcfund.net/fileadmin/00_customer/documents/MOB201406-7th/GCF_B07_Decisions_Seventh_Meeting_fin_20140619.pdf)>.

		authorised body in accordance with good practice		call for proposals	<ul style="list-style-type: none"> <li>Sample documents which provide evidence that the Grant Award evaluation system is complied with in respect of all grants awarded. The sample documents should relate to the same grant for which above notices have been provided. The sample documents should also contain the agenda and minutes of the respective Grant Evaluation Committee meetings in which these grants were discussed and approved/declined, evidence of approval by the Approving Authority and copies of communication sent to all applicants (successful or otherwise) regarding their application for grant.</li> </ul>
5.2.2	Public access to information on beneficiaries and results	Grant-awarding entity to make the grant award results public within a reasonable time frame	Required for applicants seeking grant award and/or funding allocation mechanism accreditation		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>Copy of policies/guidelines for providing information to the public regarding the entity's grant decisions;</li> <li>Evidence of publication of grant award results for the last 3 grants/programmes/projects.</li> </ul>
5.2.3	Transparent allocation of financial resources	Systems in place to provide assurance on the reality and eligibility of activities to be carried out with the grant award; to	Required for applicants seeking grant award and/or funding allocation		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>Copy of documented framework/ system for undertaking due diligence, including procurement procedures, with clearly defined responsibilities and applicable formats/templates, for assessing the</li> </ul>



		<p>recover funds unduly paid and prevent irregularities and fraud; to monitor project implementation; and to suspend, reduce or terminate the grant in the event of non-compliance</p>	<p>mechanism accreditation</p>		<p>eligibility and capabilities of potential grant awardees;</p> <ul style="list-style-type: none"> <li>• Copy of entity's policies and procedures (including formats) for undertaking Monitoring &amp; Evaluation of grants, along with reports as evidence of monitoring of implementation of 3 projects in the past 3 years; Copy of policies and procedures relating to Suspension, Reduction, Termination and Recovery of grants;</li> <li>• Does the entity have any policies/systems relating to providing access to the public to information on the periodic progress of individual projects including budget utilisation to ensure greater transparency in the use of funds by grantees? If yes, please provide brief description of the policies/system and evidence of its implementation;</li> <li>• Policies relating to external audit of the entity's grant award activities and relevant. If this is done as a part of the entity's external audit exercise please indicate accordingly. Alternatively provide copies of last 3 reports on the grant award activities.             <ul style="list-style-type: none"> <li>i) <i>For private sector entities:</i> Special/separate grant award audit reports as demonstrated evidence of transparent and consistent application of grant awarding criteria.</li> </ul> </li> </ul>
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5.2.4	Good standing for financial requirements with regard to multilateral funding (e.g. through recognized public expenditure reviews)	Grant awarding entity with a proven track record of handling multilateral funds	Required for applicants seeking grant award and/or funding allocation mechanism accreditation		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Evidence of good standing with regard to multilateral funding in the form of evaluation/assessment/due diligence reports commissioned by the multilateral funding sources or letters of reference from multilateral sponsors;</li> <li>• Public expenditure reviews, if any undertaken.</li> </ul>
<b>5.3</b>	<b>On-lending and/or blending<sup>42</sup></b>				
Additional specialized criteria for on-lending and blending will apply for intermediaries and implementing entities that wish to use financial instruments other than grants with the Green Climate Fund's resources.					
5.3.1	Appropriate registration and/or licensing by a financial oversight body or regulator in the country and/or internationally, as applicable	An official record from a regulator or licensing body clearing the entity for on-lending	Required for applicants seeking on-lending and/or blending accreditation		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• On-lending registration or license from a national or international regulator.</li> <li>• If such a license does not exist or apply, please indicate this and explain.</li> </ul>
5.3.2	Track record, institutional experience and existing arrangements and capacities for on-	Previous experience with on-lending or blending using international or multilateral resources	Required for applicants seeking on-lending and/or		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Data for the last 3 years in respect of funds for On-lending and Blending received from different international and multilateral funding sources, including the management of assets under Trust</li> </ul>

<sup>42</sup> Annex II of document GCF/B.07/11, available at <[http://gcfund.net/fileadmin/00\\_customer/documents/MOB201406-7th/GCF\\_B07\\_Decisions\\_Seventh\\_Meeting\\_fin\\_20140619.pdf](http://gcfund.net/fileadmin/00_customer/documents/MOB201406-7th/GCF_B07_Decisions_Seventh_Meeting_fin_20140619.pdf)>.

	lending and blending with resources from other international or multilateral sources		blending accreditation		<p>Arrangements and other arrangements such as SPVs;</p> <ul style="list-style-type: none"> <li>• Project documents for 3 on-lending or blending projects, clearly stating the intermediaries and sources of international and multilateral funding;</li> <li>• At least 3 examples of agreements for each of the financial instruments that the applicant has indicated it is applying for accreditation for (e.g., loans, equity and/or guarantees), undertaken by the application. For example, if the applicant is applying for this specialized fiduciary criteria in order to receive resources from the Green Climate Fund to deploy as equity, the applicant should provide at least 3 relevant examples for which the applicant made an equity investment.</li> </ul>
5.3.3	Creditworthiness	Capacity to safely lend money to other entities	Required for applicants seeking on-lending and/or blending accreditation		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Ratings from recognised international credit rating companies;</li> <li>• If the applicant is not rated, provide other relevant information to evidence the applicant's creditworthiness such as the Regulator's examination report or information regarding status of payments in arrears of the entity's current loan portfolio and market value of its investments.</li> </ul>

5.3.4	Due diligence policies, processes and procedures	Mechanisms in place to ensure that on-lending and/or blending is done in a credible manner	Required for applicants seeking on-lending and/or blending accreditation		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Copy of policies/guidelines/procedures for the entity's On-lending and/or Blending operations; Copy of the framework/system for undertaking due diligence with clearly defined roles and responsibilities and applicable formats/templates for assessing the capabilities of the recipient organisations;</li> <li>• 2 on-lending and/or blending due diligence reports, including the software employed by the entity in analysing the credit quality of loan recipients, for example Moody's Credit Analysis Software or other specialised systems.</li> </ul>
5.3.5	Financial resource management, including analysis of the lending portfolio of the intermediary	Control procedures in place to analyse the lending portfolio of the intermediary	Required for applicants seeking on-lending and/or blending accreditation		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Financial management policy or any other document outlining the entity's policy with respect to management of financial resources;</li> <li>• Framework/procedures for evaluating an intermediary's lending portfolio;</li> <li>• 2 lending portfolio assessment/analysis reports.</li> </ul>
5.3.6	Public access to information on beneficiaries and results	Systems and provisions in place for the general public to access information about beneficiaries and	Required for applicants seeking on-lending and/or blending accreditation		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Copy of entity's policies/guidelines for providing information to the public regarding its decisions on on-lending and/or blending operations;</li> </ul>

		results of projects funded by the entity			<ul style="list-style-type: none"> <li>• Evidence of publication of the list of beneficiaries of its on-lending and/or blending operations for the last 2 years;</li> <li>• Evidence of publication of information on beneficiaries and results of 3 projects completed in the past 3 years (preferably climate change mitigation and/or adaptation projects).</li> </ul>
5.3.7	Investment management, policies and systems, including in relation to portfolio management	Systems in place to ensure sound investment management	Required for applicants seeking on-lending and/or blending accreditation		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Investment management policy;</li> <li>• Procedures/guidelines for managing the entity's investment portfolio;</li> <li>• Copies of 2 investment portfolio management reports prepared in the past 3 years, including the current investment portfolio valuation.</li> </ul>
5.3.8	Capacity to channel funds transparently and effectively, and to transfer the Green Climate Fund's funding advantages to final beneficiaries	Systems in place to ensure that funds are transparently channelled	Required for applicants seeking on-lending and/or blending accreditation		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Brief description of systems/procedures/practices which provide requisite assurance that the funds provided by the entity are channelled transparently and used effectively;</li> <li>• Examples of reports from the past three years used to control the appropriate use of funds</li> <li>• Entity's policy and practices for annual/periodic independent review/check/internal or external audit on the use of its funds along with evidence of such reviews being undertaken;</li> </ul>

					<ul style="list-style-type: none"> <li>Data relating to 3 projects showing the advantages to final beneficiaries of projects implemented by the entity.</li> </ul>
5.3.9	Financial risk management, including asset liability management	Capacity to manage financial risk	Required for applicants seeking on-lending and/or blending accreditation		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>Financial risk management Policy and Procedures (if already provided as a part of Internal Control Framework, then the applicant can refer to the item and document where it is contained);</li> <li>Brief description of major financial risk management strategies planned and implemented during each of the last 2 years and analysis/reports covering the impact/effectiveness of the strategies;</li> <li>2 samples of the minutes of recent meetings of the entity's Asset and Liability Committee (ALCO) or other committee that manages the entity's assets and liabilities.</li> </ul>
5.3.10	Governance and organizational arrangements, including relationships between the treasury function and the operational side (front desk	A link between the treasury function and the operational function	Required for applicants seeking on-lending and/or blending accreditation		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>Details of the relationship between the treasury function and the operational functions with evidence that the appropriate segregation of duties between the organizational unit responsible for business decisions and the unit responsible for disbursement covers possible risks.</li> </ul>

## SECTION VI: Environmental and social safeguards

Item	Area of Competence	Specific Capacity Required	Applicability	Input Data	Examples of Supporting Documents <sup>43</sup>
6	Environmental and Social Management System (ESMS) <sup>44</sup>	<p>The accreditation review against the Green Climate Fund’s environmental and social safeguards (ESS) will focus on the applicant’s institutional ESMS.</p> <ul style="list-style-type: none"> <li>• Entities that desire to undertake Category A/I-1<sup>45</sup> or lower risk (Category B/I-2 and Category C/I-3) type projects/programmes will be required to have an ESMS that is mature and documented, with a proven track record of managing these types of projects/programmes, and the full support of Senior Management. Required elements of the institutional ESMS are set out below in items 6.1-6.6;</li> <li>• Entities that desire to undertake Category B/I-2<sup>46</sup> or lower risk (Category C/I-3) type projects/programmes will be required to have an ESMS and a proven track record of managing these types of projects/programmes, and the support of Management. This ESMS will likely have emerging elements and will not be as mature in scope or documentation, or as well-integrated into business processes, as the ESMS required for Category A/I-1 type projects/programmes, though it will still have all of the ESMS elements listed in items 6.1-6.6;</li> </ul>			

<sup>43</sup> Other documentation may be deemed acceptable by the Secretariat and/or the Accreditation Panel.

<sup>44</sup> An Environmental and Social Management System (ESMS) is a set of management processes and procedures that allow an organization to identify, analyze, control and reduce the adverse environmental and social impacts of its activities and maximize any potential environmental and social benefits in a consistent way and to improve the environmental and social standing of the organization and its activities over time. Refer to Annex VI of document GCF/B.07/11, available at <[http://gcfund.net/fileadmin/00\\_customer/documents/MOB201406-7th/GCF\\_B07\\_Decisions\\_Seventh\\_Meeting\\_fin\\_20140619.pdf](http://gcfund.net/fileadmin/00_customer/documents/MOB201406-7th/GCF_B07_Decisions_Seventh_Meeting_fin_20140619.pdf)>.

<sup>45</sup> Refer to Annex I of document GCF/B.07/11, available at <[http://gcfund.net/fileadmin/00\\_customer/documents/MOB201406-7th/GCF\\_B07\\_Decisions\\_Seventh\\_Meeting\\_fin\\_20140619.pdf](http://gcfund.net/fileadmin/00_customer/documents/MOB201406-7th/GCF_B07_Decisions_Seventh_Meeting_fin_20140619.pdf)>. Category A: Activities with potential significant adverse environmental and/or social risks and/or impacts that are diverse, irreversible, or unprecedented. High level of intermediation (I1): When an intermediary’s existing or proposed portfolio includes, or is expected to include, substantial financial exposure to activities with potential significant adverse environmental and/or social risks and/or impacts that are diverse, irreversible, or unprecedented.

<sup>46</sup> Refer to Annex I of document GCF/B.07/11, available at <[http://gcfund.net/fileadmin/00\\_customer/documents/MOB201406-7th/GCF\\_B07\\_Decisions\\_Seventh\\_Meeting\\_fin\\_20140619.pdf](http://gcfund.net/fileadmin/00_customer/documents/MOB201406-7th/GCF_B07_Decisions_Seventh_Meeting_fin_20140619.pdf)>. Category B: Activities with potential mild adverse environmental and/or social risks and/or impacts that are few in number, generally site-specific, largely reversible, and readily addressed through mitigation measures. Medium level of intermediation (I2): When an intermediary’s existing or proposed portfolio includes, or is expected to include, substantial financial exposure to activities with potential limited adverse environmental or social risks and/or impacts that are few in number, generally-site specific, largely reversible, and readily addressed through mitigation measures; or includes a very limited number of activities with potential significant adverse environmental and/or social risks and/or impacts that are diverse, irreversible, or unprecedented.

		<ul style="list-style-type: none"> <li>Entities that desire to undertake Category C/I-3<sup>47</sup> type projects/programmes will only have an ESMS. Category C/I-3 projects, by definition, contain little to no environmental or social risks or impacts. The ESMS required will be moderate and very simple, and will not need all of the ESMS elements required by higher risk categories. Required elements of the institutional ESMS are shown in items 6.1-6.6.</li> </ul>			
6.1	Policy <sup>48</sup>	<p><b>Category A/I-1</b> An environmental and social (E&amp;S) policy that:</p> <ul style="list-style-type: none"> <li>Includes an overarching statement of the E&amp;S objectives and principles guiding the institution;</li> <li>States the E&amp;S standards the institution adheres to including laws implementing host country obligations under international law;</li> <li>Indicates whom within the institutions will ensure conformance with the policy and be responsible for its execution;</li> <li>Is consistent with the Performance Standards (PS) 1-8;<sup>49</sup></li> <li>Is endorsed by Senior Management;</li> </ul>	Required for applicants seeking Category A/I-1 accreditation		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>A formal E&amp;S Policy, or equivalent, that includes the required specific capacities which is fully developed and maintained;</li> <li>In the absence of a formal policy, a description of the specific institutional capacities related to the elements that would otherwise be included in an E&amp;S policy;</li> </ul>

<sup>47</sup> Refer to Annex I of document GCF/B.07/11, available at <[http://gcfund.net/fileadmin/00\\_customer/documents/MOB201406-7th/GCF\\_B07\\_Decisions\\_Seventh\\_Meeting\\_fin\\_20140619.pdf](http://gcfund.net/fileadmin/00_customer/documents/MOB201406-7th/GCF_B07_Decisions_Seventh_Meeting_fin_20140619.pdf)>. Category C: Activities with minimal or no adverse environmental and/or social risks and/or impacts. Low level of intermediation – I3: When an intermediary’s existing or proposed portfolio includes financial exposure to activities that predominantly have minimal or negligible adverse environmental and/or social impacts.

<sup>48</sup> IFC. PS1, Footnote 9, “This requirement is a stand-alone, project-specific policy and is not intended to affect (or require alteration of) existing policies the client may have defined for non-related projects, business activities, or higher level corporate activities.” In other words, entities applying for accreditation by the Green Climate Fund should ensure that projects/programmes funded by the Green Climate Fund meet the Green Climate Fund’s ESS requirements; the entity is not required to apply the Fund’s standards to projects/programmes which are not funded by the Green Climate Fund.

<sup>49</sup> Refer to Annex III of document GCF/B.07/11, available at <[http://gcfund.net/fileadmin/00\\_customer/documents/MOB201406-7th/GCF\\_B07\\_Decisions\\_Seventh\\_Meeting\\_fin\\_20140619.pdf](http://gcfund.net/fileadmin/00_customer/documents/MOB201406-7th/GCF_B07_Decisions_Seventh_Meeting_fin_20140619.pdf)>.



		<ul style="list-style-type: none"> <li>Is communicated to all levels of its organization and may be communicated publically.</li> </ul>			<ul style="list-style-type: none"> <li>Year when E&amp;S policy or equivalent was approved/endorsed.</li> </ul>
		<p><b>Category B/I-2</b> An E&amp;S policy that:</p> <ul style="list-style-type: none"> <li>Includes an overarching statement of the E&amp;S objectives and principles which guide the institution;</li> <li>States the E&amp;S standards the institution adheres to including laws implementing host country obligations under international law;</li> <li>Indicates whom within the institutions will ensure conformance with the policy and be responsible for its execution;</li> <li>Is consistent with PS1-8;</li> <li>Is endorsed by Management;</li> <li>Is communicated within the organization.</li> </ul>	Required for applicants seeking Category B/I-2 accreditation		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>An E&amp;S Policy, or equivalent, that includes the required specific capacities;</li> <li>Year when E&amp;S policy or equivalent was approved/endorsed.</li> </ul>
		<p><b>Category C/I-3</b> <i>Not required.</i></p>	Required for applicants seeking Category C/I-3 accreditation		<p><i>Not required, but if available please indicate this and provide supporting information.</i></p>
6.2	Identification of Risks and Impacts	<p><b>Category A/I-1</b> A fully developed and documented institutional process and track record that:</p> <ul style="list-style-type: none"> <li>Identifies the E&amp;S risks and impacts of projects/programmes as they evolve over the project life;</li> </ul>	Required for applicants seeking Category A/I-1 accreditation	<p><i>For all types of entities:</i> All elements of this item taking into account the category of environmental</p>	<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>A formal E&amp;S risks and impacts identification and assessment procedure describing the due diligence approach which is</li> </ul>

		<ul style="list-style-type: none"> <li>• Is consistent with good international industry practice;</li> <li>• Is consistent with PS1-8;</li> <li>• Is integrated into operations.</li> </ul>		<p>and social risk the applicant is applying for must be addressed.</p> <p><i>For GEF entities eligible for and applying under the Green Climate Fund fast-track accreditation process:</i> Complete this section for a risk and impacts identification procedure or process and track record that includes: PS2; PS3 except Pest Management; PS4 infrastructure and equipment design and safety beyond dam safety, hazardous materials and management safety, protection of priority</p>	<p>integrated into business processes, is routinely updated, and may have been audited by an internal or external oversight mechanism;</p> <ul style="list-style-type: none"> <li>• If a risk categorization system is already used, a list of illustrative projects from the past 3 years and their category, including an indication of who within the organization determines the categorization.</li> </ul>
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				<p>provisioning and regulating ecosystem services, community exposure to disease, emergency response and preparedness, collaboration with communities, security force management; and PS6 supply chain requirements. This section does not need to be completed for other PS requirements.</p>	
		<p><b>Category B/I-2</b> An institutional process and track record that:</p> <ul style="list-style-type: none"> <li>Identifies the E&amp;S risks and impacts of projects/programmes;</li> </ul>	<p>Required for applicants seeking Category B/I-2 accreditation</p>	<p><i>For all types of entities:</i> All elements of this item taking into account the category of environmental and social risk the applicant is</p>	<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>An E&amp;S risks and impacts identification and assessment procedure describing the due diligence approach, which may be implemented by the</li> </ul>

		<ul style="list-style-type: none"> <li>• Is consistent with good international industry practice;<sup>50</sup></li> <li>• Is consistent with PS1-8.</li> </ul>	<p>applying for must be addressed.</p> <p><i>For GEF entities eligible for and applying under the Green Climate Fund fast-track accreditation process:</i> Complete this section for a risk and impacts identification procedure or process and track record that includes: PS2; PS3 except Pest Management; PS4 infrastructure and equipment design and safety beyond dam safety, hazardous materials and management safety, protection of priority</p>	<p>relevant part of the organization;</p> <ul style="list-style-type: none"> <li>• If a categorization system is already used, a list of illustrative projects from the past 3 years and their category, including an indication of who within the organization determines the categorization.</li> </ul>
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<sup>50</sup> Defined as the exercise of professional skill, diligence, prudence, and foresight that would reasonably be expected from skilled and experienced professionals engaged in the same type of undertaking under the same or similar circumstances globally or regionally.

				provisioning and regulating ecosystem services, community exposure to disease, emergency response and preparedness, collaboration with communities, security force management; and PS6 supply chain requirements. This section does not need to be completed for other PS requirements.	
		<p><b>Category C/I-3</b> A process that screens projects/programmes against PS1-8 and is able to consistently confirm the risk category.</p>	Required for applicants seeking Category C/I-3 accreditation	<p><i>For all types of entities:</i> All elements of this item taking into account the category of environmental and social risk the applicant is</p>	<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• A basic E&amp;S procedure, which may be implemented by the relevant part of the organization;</li> <li>• If a categorization system is already used, a list of illustrative</li> </ul>

			<p>applying for must be addressed.</p> <p><i>For GEF entities eligible for and applying under the Green Climate Fund fast-track accreditation process:</i></p> <p>Complete this section for a risk and impacts identification procedure or process and track record that includes: PS2; PS3 except Pest Management; PS4 infrastructure and equipment design and safety beyond dam safety, hazardous materials and management safety, protection of priority provisioning and regulating</p>	<p>projects from the past 3 years and their category, including an indication of who determines categorization.</p>
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				ecosystem services, community exposure to disease, emergency response and preparedness, collaboration with communities, security force management; and PS6 supply chain requirements. This section does not need to be completed for other PS requirements.	
6.3	Management Programme	<p><b>Category A/I-1</b> A fully developed and documented institutional process and track record for managing mitigation measures and actions stemming from the E&amp;S risk identification process.</p> <p>Depending upon the nature and scale of the project/programme, the management programme may consist of a documented combination of</p>	Required for applicants seeking Category A/I-1 accreditation	<p><i>For all types of entities:</i> All elements of this item taking into account the category of environmental and social risk the applicant is applying for must be addressed.</p>	<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>Evidence of management programme, including formal operational processes or procedures documenting practices describing how individual projects/programmes</li> </ul>

		operational procedures, practices, plans and related supporting documents that are managed in a systematic way.		<p><i>For GEF entities eligible for and applying under the Green Climate Fund fast-track accreditation process:</i> Complete this section by demonstrating management processes and track record for the issues listed in item 6.2. This section does not need to be completed for other PS requirements.</p>	<p>mitigation actions will be documented, tracked, and applied;</p> <ul style="list-style-type: none"> <li>• Audit reports (conducted by external firm or organization) on institutional management programme effectiveness.</li> </ul>
		<p><b>Category B/I-2</b> A documented institutional process and track record for managing mitigation measures and actions stemming from the E&amp;S risk identification process.</p> <p>Depending upon the nature and scale of the project/programme, the management programme may consist</p>	Required for applicants seeking Category B/I-2 accreditation	<p><i>For all types of entities:</i> All elements of this item taking into account the category of environmental and social risk the applicant is</p>	<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Operating processes or procedures documenting how individual projects/programmes mitigation actions will be documented and tracked;</li> </ul>



		of a documented combination of operational procedures, practices, plans and related supporting documents that are managed in a systematic way.		<p>applying for must be addressed.</p> <p><i>For GEF entities eligible for and applying under the Green Climate Fund fast-track accreditation process:</i> Complete this section by demonstrating management processes and track record for the issues listed in item 6.2. This section does not need to be completed for other PS requirements.</p>	<ul style="list-style-type: none"> <li>Audit reports on institutional management programme effectiveness.</li> </ul>
		<p><b>Category C/I-3</b> A management programme consistent with the level of E&amp;S risk. The management programme should indicate an institutional process to identify and manage risks (including unanticipated risks and impacts), and</p>	Required for applicants seeking Category C/I-3 accreditation	<p><i>For all types of entities:</i> All elements of this item taking into account the category of environmental and social risk</p>	<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>If needed due to unanticipated risks or impacts arising after screening, a description of the process and</li> </ul>

		designate roles responsible for implementing the programme.		<p>the applicant is applying for must be addressed.</p> <p><i>For GEF entities eligible for and applying under the Green Climate Fund fast-track accreditation process:</i> Complete this section by demonstrating management processes and track record for the issues listed in item 6.2. This section does not need to be completed for other PS requirements.</p>	organizational capacity to manage E&S risk.
6.4	Organizational Capacity and Competency	<p><b>Category A/I-1</b> An organizational structure that defines roles, responsibilities, reporting lines and authority to implement the ESMS, which includes Senior Management. Key E&amp;S responsibilities should be defined and</p>	Required for applicants seeking Category A/I-1 accreditation	<p><i>For all types of entities:</i> All elements of this item taking into account the category of environmental</p>	<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>Organizational charts that identify units or departments, line management and the individuals having E&amp;S performance and</li> </ul>

		<p>communicated, and supported with human and financial resources.</p> <p>Technical staff with direct responsibility for the project/programme performance have the knowledge, skills and experience necessary to understand and ensure implementation of PS1-8.</p> <p>Technical staff with knowledge of PS1-8 are able to properly categorize potential funding proposals.</p>		<p>and social risk the applicant is applying for must be addressed.</p> <p><i>For GEF entities eligible for and applying under the Green Climate Fund fast-track accreditation process:</i> Complete this section by demonstrating capacity and competency for the issues listed in item 6.2. This section does not need to be completed for other PS requirements.</p>	<p>compliance responsibilities;</p> <ul style="list-style-type: none"> <li>• Job descriptions and responsibilities of key E&amp;S personnel, including expertise and experience in PS1-8;</li> <li>• Procedures for information sharing (awareness) among the investment, legal and credit offices in the organization's E&amp;S requirements and ESMS;</li> <li>• Description of training and development programs for E&amp;S and other relevant staff.</li> </ul>
		<p><b>Category B/I-2</b> An organizational structure that defines roles, responsibilities and authority to implement the ESMS, which includes Senior Management. Key E&amp;S responsibilities should be</p>	<p>Required for applicants seeking Category B/I-2 accreditation</p>	<p><i>For all types of entities:</i> All elements of this item taking into account the category of environmental</p>	<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Organizational charts that identify units or departments, line management and the individuals having E&amp;S performance and</li> </ul>

		<p>defined and supported with human and financial resources.</p> <p>Technical staff with direct responsibility for the project/programme performance have the knowledge, skills and experience necessary to understand and ensure implementation of PS1-8.</p> <p>Technical staff with knowledge of PS1-8, are able to properly categorize potential funding proposals.</p>		<p>and social risk the applicant is applying for must be addressed.</p> <p><i>For GEF entities eligible for and applying under the Green Climate Fund fast-track accreditation process:</i> Complete this section by demonstrating capacity and competency for the issues listed in item 6.2. This section does not need to be completed for other PS requirements.</p>	<p>compliance responsibilities;</p> <ul style="list-style-type: none"> <li>• Job descriptions and responsibilities of key E&amp;S personnel, including expertise and experience in PS1-8.</li> </ul>
		<p><b>Category C/I-3</b> Designated staff or staff members appropriately located within the organization are knowledgeable about PS1-8 and able to properly categorize potential funding proposals through a screening process.</p>	<p>Required for applicants seeking Category C/I-3 accreditation</p>	<p><i>For all types of entities:</i> All elements of this item taking into account the category of environmental</p>	<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Organizational chart of where designated staff members who make categorization decisions sit in the</li> </ul>

				<p>and social risk the applicant is applying for must be addressed.</p> <p><i>For GEF entities eligible for and applying under the Green Climate Fund fast-track accreditation process:</i> Complete this section by demonstrating capacity and competency for the issues listed in item 6.2. This section does not need to be completed for other PS requirements.</p>	<p>organization and reporting lines.</p>
6.5	Monitoring and Review	<p><b>Category A/I-1</b> Track record and internal processes to support a monitoring/supervision programme that tracks and ensures completion of mitigation and performance improvement measures.</p>	<p>Required for applicants seeking Category A/I-1 accreditation</p>	<p><i>For all types of entities:</i> All elements of this item taking into account the category of environmental</p>	<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Description of monitoring and review programme, including processes and procedures;</li> </ul>

		<p>Periodic performance reviews reported to Senior Management on the effectiveness of the ESMS. Senior Management has a track record of taking the necessary steps to ensure that the intent of the institutions policy is met and that procedures, practices and plans are implemented</p>		<p>and social risk the applicant is applying for must be addressed.</p> <p><i>For GEF entities for and applying under the Green Climate Fund fast-track accreditation process:</i> Complete this section by demonstrating monitoring competency and a track record for the issues listed in item 6.2. This section does not need to be completed for other PS requirements.</p>	<ul style="list-style-type: none"> <li>• Examples of how lessons learned from monitoring and evaluation have influenced the design/decisions concerning specific projects/programmes;</li> <li>• Overall indicators that resulted from the program in the past 3 years, which indicate a track record of the level of success of ESMS implementation within the projects/programmes;</li> <li>• Description of the review or audit processes that verify this data (institutional independent review arm, outside audit firm, oversight mechanism, etc.); sample of project audit reports;</li> <li>• Description of the types and frequency of reports, which include E&amp;S monitoring</li> </ul>
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					<p>information, that are submitted to Senior Management; sample of project monitoring and evaluation reports prepared in the last 3 years;</p> <ul style="list-style-type: none"> <li>• Examples of how E&amp;S supervision and auditing activities have informed the management review and update of the ESMS;</li> <li>• Examples of how E&amp;S supervision and auditing activities have resulted in knowledge dissemination either internally or publically.</li> </ul>
		<p><b>Category B/I-2</b> Track record and internal processes to support a monitoring/supervision programme that tracks and ensures completion of mitigation and performance improvement measures.</p> <p>Periodic performance reviews reported to Senior Management, on the effectiveness of the ESMS. Senior</p>	<p>Required for applicants seeking Category B/I-2 accreditation</p>	<p><i>For all types of entities:</i> All elements of this item taking into account the category of environmental and social risk the applicant is</p>	<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Description of monitoring and review program and previous years' indicators that resulted from the program;</li> <li>• Sample of project monitoring and evaluation reports.</li> </ul>

		Management takes the necessary steps to ensure that the intent of the institutions policy is met and that procedures, practices and plans are implemented.		<p>applying for must be addressed.</p> <p><i>For GEF entities eligible for and applying under the Green Climate Fund fast-track accreditation process:</i> Complete this section by demonstrating monitoring competency and a track record for the issues listed in item 6.2. This section does not need to be completed for other PS requirements.</p>	
		<p><b>Category C/I-3</b> Moderate monitoring of projects/programmes to ensure that there have been no scope changes or unanticipated impacts or risks requiring mitigation and management.</p>	Required for applicants seeking Category C/I-3 accreditation	<p><i>For all types of entities:</i> All elements of this item taking into account the category of environmental and social risk</p>	<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Description of project monitoring process.</li> </ul>



				<p>the applicant is applying for must be addressed.</p> <p><i>For GEF entities eligible for and applying under the Green Climate Fund fast-track accreditation process:</i> Complete this section by demonstrating monitoring competency and a track record for the issues listed in item 6.2. This section does not need to be completed for other PS requirements.</p>	
6.6	External Communications	<p><b>Category A/I-1</b> External communication channels that allow the entity to:</p> <ul style="list-style-type: none"> <li>• Receive and register external communications from the public;</li> <li>• Screen and assess issues raised and determine how to address them;</li> </ul>	Required for applicants seeking Category A/I-1 accreditation		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Written process or procedures describing external communications system;</li> </ul>

		<ul style="list-style-type: none"> <li>• Provide, track, and document responses.</li> </ul>			<ul style="list-style-type: none"> <li>• Location of system (website, etc.);</li> <li>• Register of inquiries/complaints and responses from the past 1 year.</li> </ul>
		<p><b>Category B/I-2</b> External communication channels that allow the entity to:</p> <ul style="list-style-type: none"> <li>• Receive and register external communications from the public;</li> <li>• Screen and assess issues raised and determine how to address them;</li> <li>• Provide, track, and document responses.</li> </ul>	Required for applicants seeking Category B/I-2 accreditation		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Written process or procedures describing external communications system;</li> <li>• Location of system (website, etc.);</li> <li>• Register of inquiries/complaints and responses from the past 1 year.</li> </ul>
		<p><b>Category C/I-3</b> External communication channels that allow the entity to:</p> <ul style="list-style-type: none"> <li>• Receive and register external communications from the public;</li> <li>• Screen and assess issues raised and determine how to address them;</li> <li>• Provide, track, and document responses.</li> </ul>	Required for applicants seeking Category C/I-3 accreditation		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Written process or procedures describing external communications system;</li> <li>• Location of system (website, etc.);</li> <li>• Register of inquiries/complaints and responses from the past 1 year.</li> </ul>

## SECTION VII: Gender

Item	Area of competence	Specific Capacity Required	Applicability	Input Data	Examples of Supporting Documentation <sup>51</sup>
7.1	Gender	Demonstrate competencies, policies and procedures to implement the Green Climate Fund's Gender Policy <sup>52</sup>	All applicants		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Extract from entity's operational policies and procedures relating to gender.</li> </ul>
7.2		Demonstrate experience with gender and climate change, including a track record of lending to both men and women	All applicants		<p><i>For all types of entities:</i></p> <ul style="list-style-type: none"> <li>• Examples of 2 activities (e.g., projects/programmes undertaken, on-granting, on-lending, etc.) that specifically target women among beneficiaries;</li> <li>• Evidence to show that the entity's activities (e.g., projects/programmes undertaken, on-granting, on-lending, etc.) have non-discriminatory practices in terms of benefits and remuneration for both men and women employees.</li> </ul>

<sup>51</sup> Other documentation may be deemed acceptable by the Secretariat and/or the Accreditation Panel.

<sup>52</sup> Annex XIII of document GCF/B.09/23, available at [http://www.gcfund.org/fileadmin/00\\_customer/documents/Operations/Gender\\_Policy\\_Action\\_Plan.pdf](http://www.gcfund.org/fileadmin/00_customer/documents/Operations/Gender_Policy_Action_Plan.pdf).