



# Unlock

## Climate Finance



# A practical handbook for Green Climate Fund accreditation in Bangladesh



Economic Relations Division  
Ministry of Finance



## Authors

Neha Rai is a senior researcher with IIEDs climate change group. [Neha.raai@iied.org](mailto:Neha.raai@iied.org)  
Marek Soanes is a consultant with IIED.

### Special contributions from:

Md. Ashadul Islam, Additional Secretary, UN Wing, ERD  
Mohammad Iftekhar Hossain, Deputy Secretary, UN-3, ERD  
Dr Saleemul Huq, ICCCAD, Bangladesh

### Guidance:

Mohammad Mejbahuddin, Senior Secretary, ERD and NDA of Bangladesh to the GCF

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Working in collaboration with partner organisations and individuals in developing countries, the Climate Change Group has been leading the field on adaptation to climate change issues.

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## Partner organisation

Economic Relations Division (ERD) is one of the four divisions of the Ministry of Finance, Government of the People's Republic of Bangladesh. ERD has been appointed as the National Designated Authority (NDA) to access the Green Climate Fund in Bangladesh.

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International Institute for Environment and Development

80-86 Gray's Inn Road, London WC1X 8NH, UK

Tel: +44 (0)20 3463 7399

Fax: +44 (0)20 3514 9055

email: [info@iied.org](mailto:info@iied.org)

[www.iied.org](http://www.iied.org)

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# Acronyms

AF	Adaptation Fund
CSE	Centre Suivi Ecologique
CSO	civil society organisations
E&S	environmental and social
EEs	executing entities
ERD	Economic Resource Division
ESMS	environmental and social management system
EU DEVCO	European Commission's Directorate-General for Development and Cooperation – EuropeAid
GCF	Green Climate Fund
GEF	Global Environmental Facility
IEs	implementing entities
IFC	International Finance Corporation
MDBs	Multilateral Development Banks
MIEs	multilateral implementing entities
NIEs	national implementing entities
NDA	national designated authority
OAS	online application system
PS	performance standard

# 1. Introduction

The aim of this handbook is to provide a practical guide to assist prospective national implementing entities (NIEs) in Bangladesh to directly access the Green Climate Fund (GCF).

It is designed to provide an all-in-one guidance and analysis of the concept, process, relevant standards, frequently asked questions and previous applicants' experience of GCF accreditation. Given the purpose of this work, it does not discuss accreditation for multilateral implementing entities (MIEs) via international access modality.

The handbook is primarily intended to be used by national institutes aiming to become accredited NIEs. These can be national line ministries or departments, the Central Bank, public financial institutions, private sector companies or civil society organisations.

Prior to developing this guidebook, the Ministry of Finance's Economics Resource Division (ERD) conducted an institutional assessment with prospective NIEs to

understand their knowledge levels of GCF and their readiness needs for getting accrediting. This document aims to bridge this knowledge gap and provides an overview of:

- the Green Climate Fund
- the role of the national designated authority (NDA) in Bangladesh
- direct access
- accreditation
- role of NIEs
- who can apply for accreditation, and
- how to get accredited as an NIE

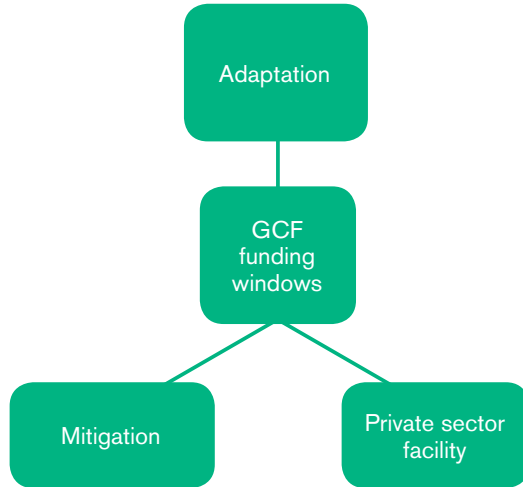
The document also builds on practical insights gleaned from a recent South-South exchange between the Bangladesh NDA – the ERD – and Senegal's NIE, the Centre Suivi Ecologique (CSE). CSE was one of the first NIEs to be accredited by GCF and the Adaptation Fund (AF), and has recently submitted its first GCF project proposal.

## 1.1 What is the Green Climate Fund?

The GCF is an international climate fund designed to help developing countries respond to climate change by investing in low-carbon resilient development. Countries can access GCF finance through three funding windows: adaptation, mitigation and private sector facility (see Figure 1).

While funding developing countries, GCF aims to balance its allocation between adaptation and mitigation while significantly allocating resources to engage the private sector. Furthermore, nearly half of the ‘adaptation’ pool is expected to be allocated to Least Developed Countries, Small Island Developing States and African states.

Figure 1. GCF funding windows



## 1.2 What is the role of the NDA?

Figure 2 shows the key entities needed to access mobilise and disburse GCF funds within a country. An NDA is the focal point within a country for engaging with the fund.

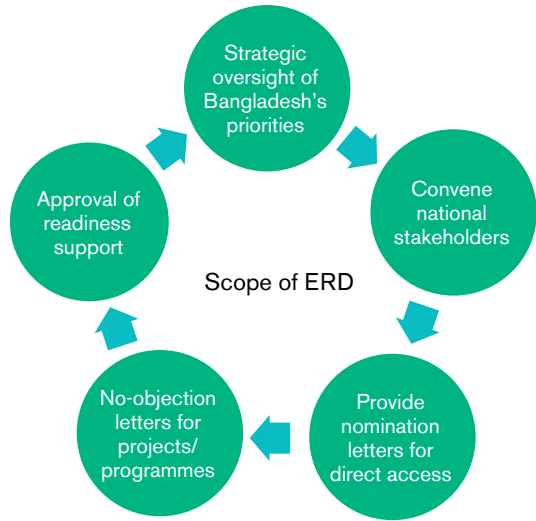
Figure 2. Key entities needed to access GCF in Bangladesh

NDA	<ul style="list-style-type: none"> <li>• National designated agency – focal agency</li> </ul>
IEs	<ul style="list-style-type: none"> <li>• Implementing entities – act as programme managers of fund (grants)</li> <li>• Legal accredited entities</li> </ul>
Intermediaries	<ul style="list-style-type: none"> <li>• Have broader scope</li> <li>• Expected to administer grants, loans and also blend funds with their own</li> </ul>
EEs	<ul style="list-style-type: none"> <li>• Executing entities</li> <li>• Have implementation responsibilities</li> </ul>



The ERD, one of the four divisions in the Ministry of Finance, is Bangladesh's NDA. Figure 3 shows the key roles the ERD plays in supporting the mobilization of GCF in Bangladesh.

Figure 3. Key roles and functions of ERD, Bangladesh's NDA



## 1.3 What is direct access?

Bangladesh can access GCF funds through indirect channels, using multilateral or regional implementing entities or direct channels, using NIEs.

Under the direct access modality, Bangladesh can select one or more NIEs to access, manage and distribute GCF funding without going through multilateral agencies. By doing so, it is expected to increase country ownership over funded projects and improve institutional capacity for climate fund management.



Manikganj in Bangladesh © OneWorld UK, flickr.com

## 1.4 What is accreditation?

To access finance directly from GCF, ERD identifies and nominates national entities to be accredited as NIEs.

Accreditation is a process under which entities have to demonstrate that they have the ability to manage the fund's resources in accordance with standards and criteria set out in the accreditation application.

A team of experts from the accreditation panel undertake an independent review

of the application to assess whether the applicant entity meets GCF's fiduciary standards and environmental and social safeguards (ESS) and complies with its gender policy.

By March 2015, globally, 41 applications had been submitted via the online accreditation system (OAS), including nine national public entities, five regional public entities, eight private sector entities and 19 international public or non-governmental organisations.

## 1.5 What is the role of the NIE?

NIEs are accredited entities that are expected to mobilise and manage GCF finance in a country. Once a Bangladesh NIE gets GCF accreditation, their primary role will be to:

- Develop and submit funding proposals for projects and programmes
- Oversee project and programme management and implementation
- Deploy a range of financial instruments (grants, concessional loans, equity and guarantees), and
- Mobilise private sector capital.

By October 2015, stakeholder consultations, self-assessments, workshops and consultation with expert opinions (including the GCF) have helped identify a wide range of potential NIEs in Bangladesh, including:

- Central Bank of Bangladesh
- Bangladesh Climate Change Trust
- Department of Environment
- Local Government Engineering Department
- Infrastructure Development Company Ltd (IDCOL), and
- Palli Karma-Sahayak Foundation (PKSF).

Of the six, IDCOL has already lodged its accreditation application to the GCF; the other five are at different stages of filling their applications.



## 1.6 Who can apply for accreditation in Bangladesh?

Any subnational, national, regional, public or private agency can apply to become accredited as an NIE, provided it has:

- **A legal status:** it has to be legally established within Bangladesh.
- **An institutional system:** with robust policies, procedures and guidelines.
- **A track record:** so it can demonstrate that it implements these policies, procedures and guidelines.



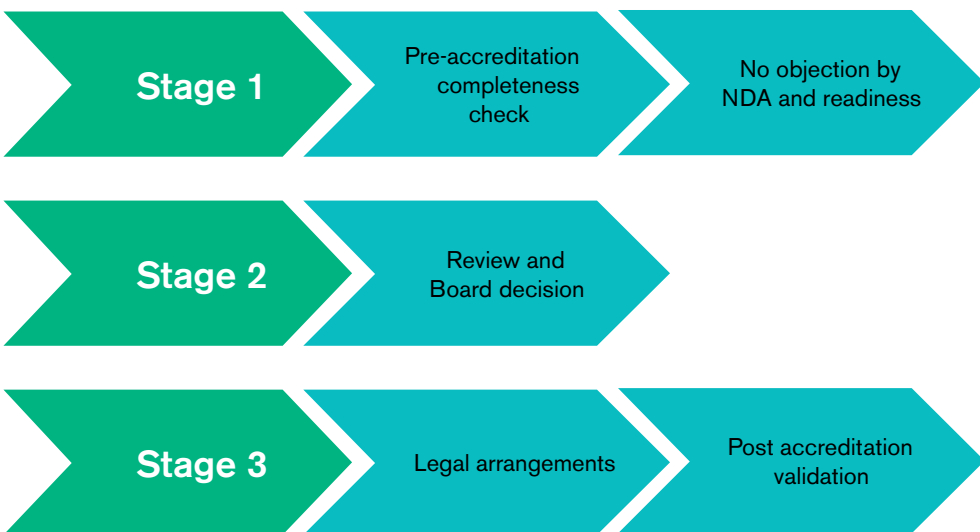
Nature view of Bogra near Ashekpur Ranihat Road, Bogra. Bangladesh © Nobin, flickr.com

# 2. How can prospective NIEs in Bangladesh get accreditation?

In this section we discuss the key steps of how prospective entities can be accredited and the specific readiness needs of these entities prior to accreditation. Entities need to be nominated by the NDA – the ERD in the Ministry

of Finance – before they can apply for accreditation to become an NIE. Once nominated, an entity can follow the accreditation process, which has three stages (see Figure 4).

Figure 4. The three stages of the accreditation process



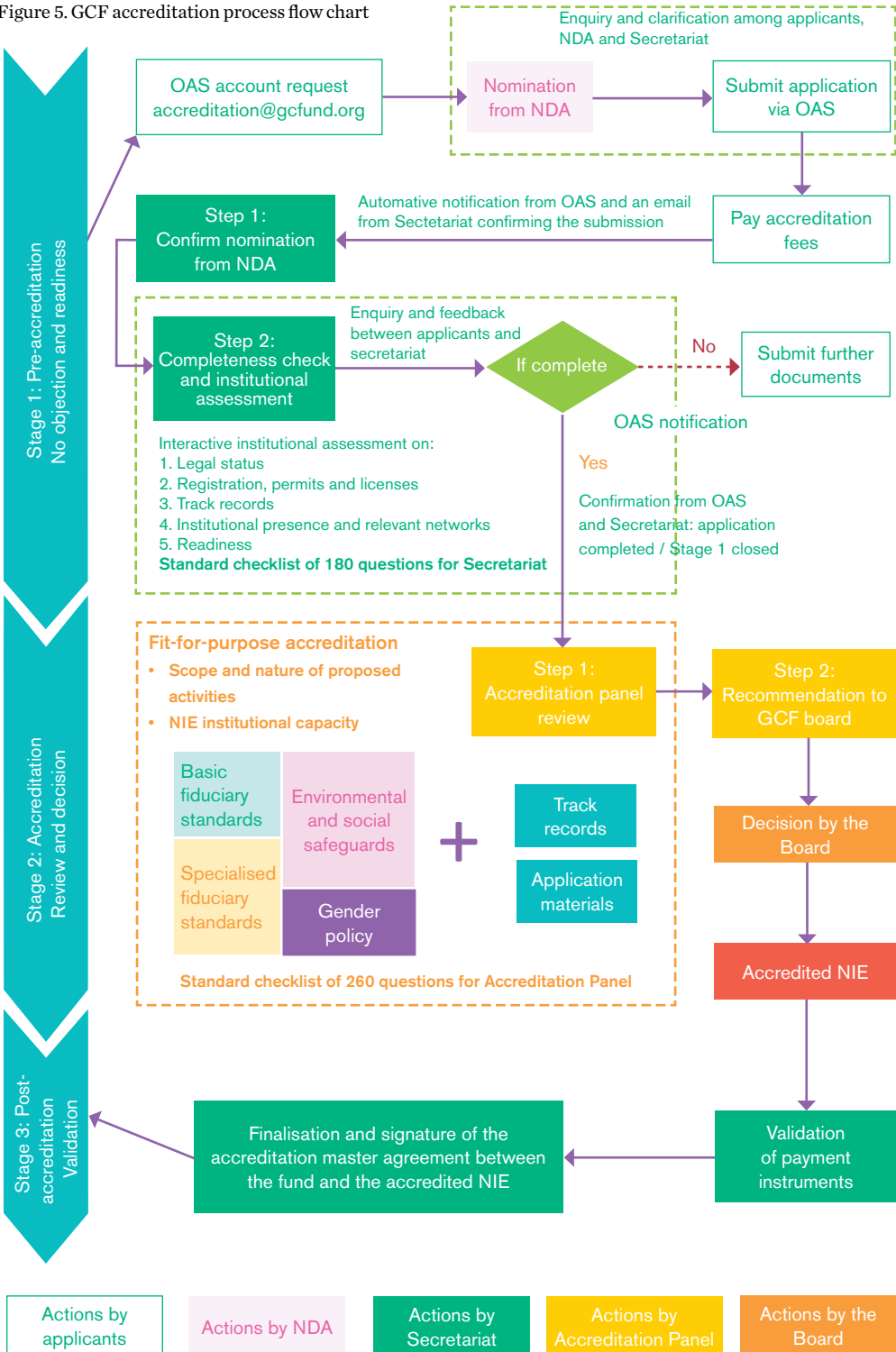
## 2.1 Key facts about accreditation

- Accreditation is an ongoing, interactive process. It is crucial that NIE applicants, the NDA and the GCF Secretariat/accreditation panel communicate frequently and effectively. Throughout the accreditation process, NIE applicants should approach the NDA and the GCF whenever they need clarification or explanation.
- All application materials and documents should be submitted electronically via the OAS. No hard copy or post-submission materials are accepted. Applicants can check their application status online at any time and will receive regular notifications regarding the application's status.
- Additional information about the application may be requested at any time during the process.
- Accreditation documents should all be in English. GCF is exploring the possibility of enabling submission in all UN official languages.
- The timeframe for accreditation is six months, provided all required materials have been submitted.



Manikganj in Bangladesh © OneWorld UK, flickr.com

Figure 5. GCF accreditation process flow chart



## 2.2 Steps and stages of accreditation

There are three stages of accreditation: pre-accreditation, review and decision and the final validation and legal arrangements. Each of these stages has several steps that prospective entities need to follow.

### Stage 1: Pre-accreditation

There are five steps to Stage 1:

- Step 1 Prospective NIE requests an OAS account from the GCF secretariat via accreditation@gcfund.org
- Step 2 Prospective NIE submits completed application through the GCF's OAS
- Step 3 Prospective NIE pays accreditation fees (not needed in the case of Bangladesh)
- Step 4 NDA (ERD in the case of Bangladesh) confirms nomination of the NIE
- Step 5 GCF Secretariat completes institutional assessment and completeness check

In this document we will elaborate on the fifth step as rest others are self-explanatory

### Step 5: Interactive institutional assessment

After receiving applications via OAS, the GCF Secretariat conducts an institutional assessment process based on submitted materials. This ensures that applications are properly submitted with all the necessary information, and that they comply with criteria such as legal status and mandate, institutional track record

and alignment with the fund's objectives and guiding principles. In particular, they look at:

- **Legal status:** Does the entity have the full legal capacity to undertake the intended activities and become an accredited entity?
- **Registration, permits and licenses:** Does it possess all the necessary, relevant and applicable registrations, permits or licenses from national and/or international regulators or oversight bodies?
- **Track record:** Does it have a consistent and positive track record in the context of its own institutional mandate, as well as in areas relevant to the fund's objectives and initial results areas?
- **Institutional presence and relevant networks:** Can it demonstrate the potential for meaningful impact in one or more of the fund's initial results areas? Does it have at its disposal networks of relevant institutions and experts at regional and national levels?
- **Readiness:** Can it describe how it meets the Fund's initial basic fiduciary standards and applicable initial specialised fiduciary standards, to demonstrate that it has the capacity and commitment to implement the fund's ESS?

Once an application is found to be complete, Stage 1 closes and Stage 2 begins, when the accreditation panel reviews the application and recommends that the Board accredit the entity, if it is found to be fit for specific purpose.

## Stage 2: Accreditation review process and decision

In Stage 2, the accreditation panel reviews the application and then the Board will make decision based on the panel's review and recommendation.

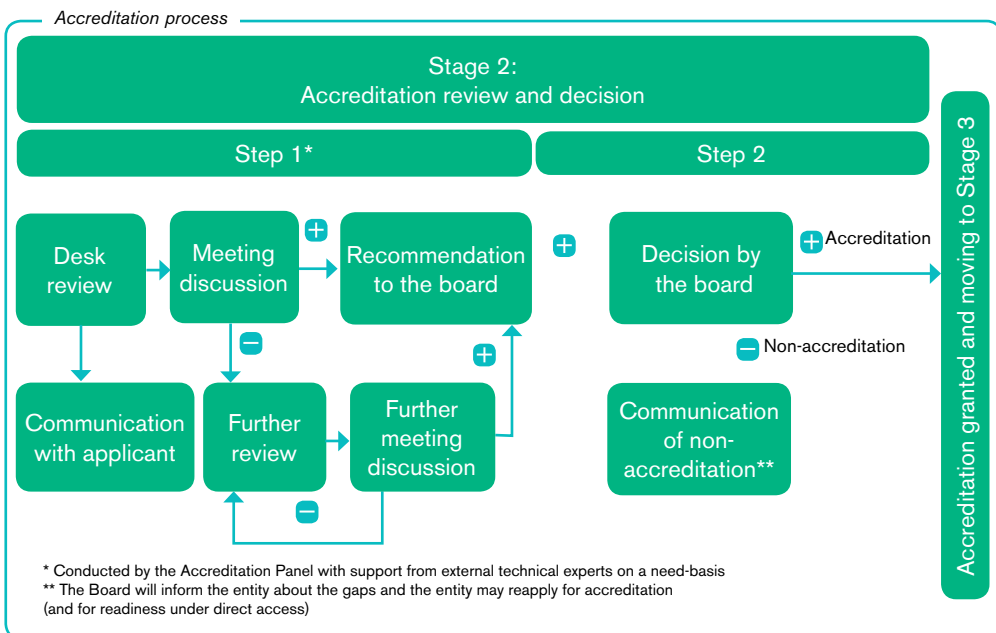
**Step 1: Review of application.** The panel will assess whether the entity meets GCF's basic fiduciary and applicable initial specialised fiduciary standards and whether it has the capacity to manage relevant environmental and social risks in line with the GCF's interim ESS and scaled risk-based approach.

The panel uses a fit-for-purpose accreditation approach that matches the nature, scale and risks of proposed activities to the application of the Fund's initial fiduciary standards and interim ESS.

The GCF's Accreditation Panel conducts the accreditation review process and recommends to the Board whether the applicant entity should be accredited.

**Step 2: Decision on the application for accreditation.** At the end of this stage, the Board will consider the Accreditation Panel's recommendations and make a decision on whether the applicant entity can be granted accreditation and move on to Stage 3 for final validation and legal arrangements. Based on the panel's recommendations, the Board may alternatively decide to assign the entity back to Stage 1 for additional focused readiness support. In such cases, it will reconsider the application at a later date after a further focused accreditation review by the Accreditation Panel.

Figure 6. Overview of Stage 2



Source: GCF Secretariat



### Fit-for-purpose accreditation

In Stage 2, funds are assessed for fit-for-purpose accreditation. Results depend on the entity’s ability to demonstrate a track record of fiduciary, environment and social standards in the accreditation process (see Table 1). GCF’s innovative fit-for-purpose accreditation approach is designed to engage a wide range of entities with different levels of existing capacity and to avoid an unnecessarily long and burdensome accreditation process. Fit-for-purpose accreditation (see Table 2) is a tiered approach by which applicant entities are classified based on the intended scale, nature and risks of their proposed

activities. Applicants are only required to demonstrate their capacities to tackle corresponding risks during the accreditation, so this process does not unduly burden no- and low-risk projects.

The fit-for-purpose accreditation approach matches the nature, scale and risks of proposed activities to the application of fiduciary standards and ESS, and assesses the extent to which an entity conforms to the GCF’s fiduciary standards and has the capacity to conform with the its ESS and gender policy.

See Section 3 for further instructions on how prospective Bangladeshi NIEs can demonstrate these standards.

Table 1. GCF’s fiduciary standards, ESS and gender policy

BASIC FIDUCIARY STANDARDS	ESS
Key administrative and financial capacities Transparency and accountability	<b>Policy level:</b> Performance standard (PS) 1: Assessment and management of relevant PS1-8 (see below) environmental and social risks and impacts through an institutional environmental and social management system
<b>Specialised fiduciary standards</b>	<b>Project level:</b>
Project management	PS2: Labour and working conditions
Grant award and/or funding mechanism	PS3: Resource efficiency and pollution prevention
On lending and/or blending	PS4: Community health, safety and security
<b>Gender policy</b>	PS5: Land acquisition and involuntary resettlement
Policies, procedures and competencies	PS6: Biodiversity conservation and sustainable management of living natural resources
	PS7: Indigenous peoples
	PS8: Cultural heritage

Figure 7. Fit-for-purpose accreditation process

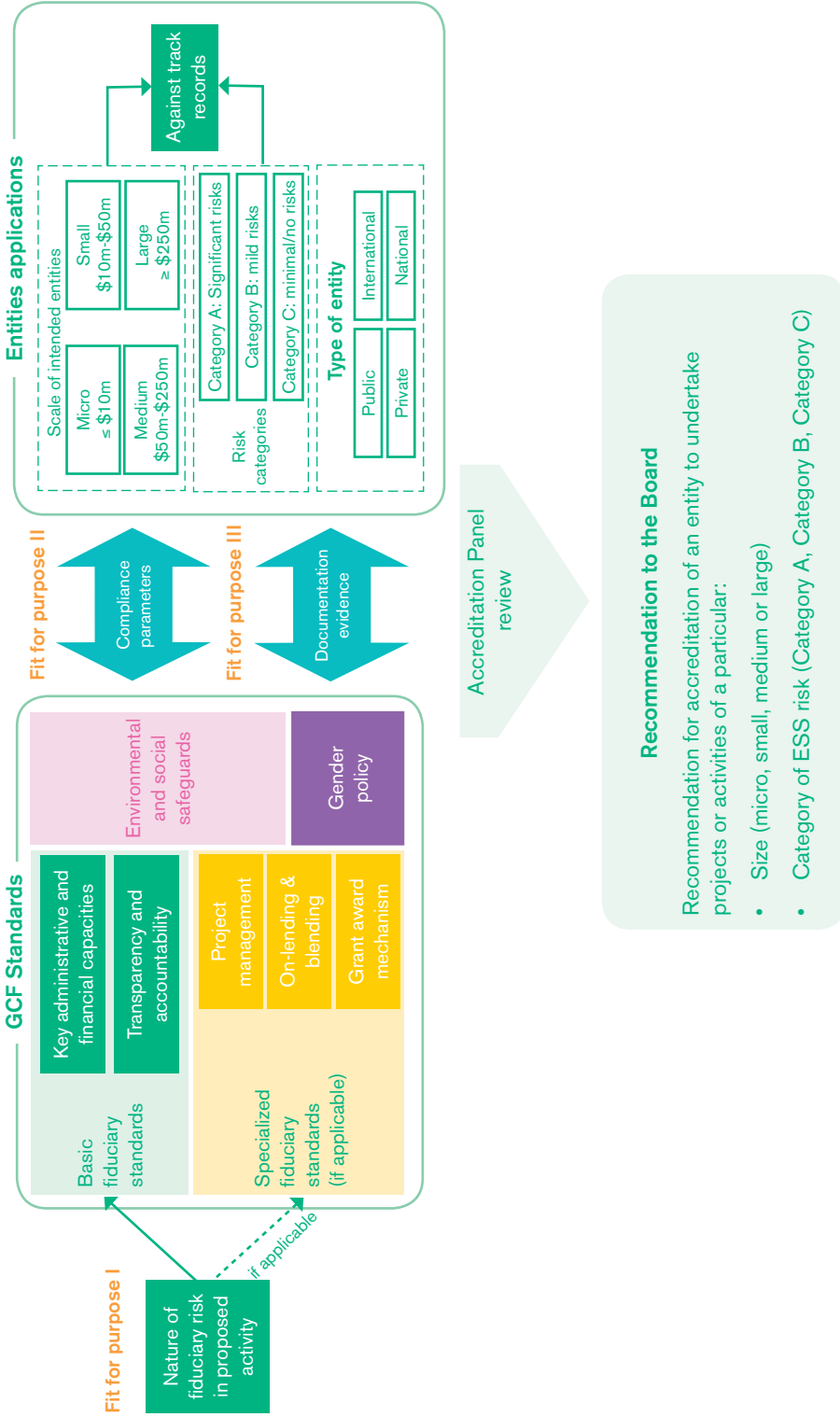


Table 2. Fit-for-purpose approach to accreditation

FIDUCIARY FUNCTIONS	SIZE OF PROJECT/ACTIVITY WITHIN A PROGRAMME	ENVIRONMENTAL AND SOCIAL RISK CATEGORY
Shapes how the entity will operate using the fund's resources – e.g. grants, concessional loans, equity, guarantees	Micro: US\$0–10 million	A: high risk/intermediation 1
	Small: US\$10–50 million	B: medium risk/intermediation 2
	Medium: US\$50–250 million	C: low to no risk /intermediation 3
	Large: US\$>250 million	

The Stage 2 review or assessment will allow the accreditation panel to specify and link up the type of accreditation (basic or specialised) with the size of projects and fiduciary functions an entity may undertake and the level of risk its intended projects may take.

### Lack of track record

Sometimes an entity meets most of the accreditation criteria, but has a limited track record of managing projects or funding of the type, at the scale and/or at the risk level that it intends to undertake. In these cases, the accreditation panel may recommend to the Board that the entity be accredited, but with a more frequent reporting requirement, to be lifted after the first two years of accreditation, subject to satisfactory performance. The Accreditation Panel may also recommend a more frequent, but smaller, disbursement of funding tranches, subject to review after the first two years of accreditation.

The panel may further recommend placing conditions on the sectors of the projects or activities that the entity can undertake. It will determine on a case-by-case basis the appropriate recommendation or conditions that may apply to the entity in circumstances where there is a limited track record.

### Accreditation of additional capacity

In the event that an entity that has been accredited with certain restrictions on its activities subsequently wishes to take on additional activities, it may re-apply for accreditation of these additional capacities. It will go directly to Stage 2 of the accreditation process and the assessment will focus only on those additional capacities and not on those already accredited, unless the applicant wishes to go through Stage 1 again, for the purposes of readiness assessment and eventual support on those capacities for which it seeks further accreditation.

### Fast-track accreditation

Entities or groups of entities who meet other fiduciary, environmental and social principles and standards that are comparable to the fund's fiduciary standards and ESS may be eligible for the fast-track accreditation process, with a shortened Stage 2. GCF recognises entities accredited by the Global Environmental Facility (GEF), AF and the European Commission's Directorate-General for Development and Cooperation – EuropeAid (EU DEVCO) for fast-track accreditation.

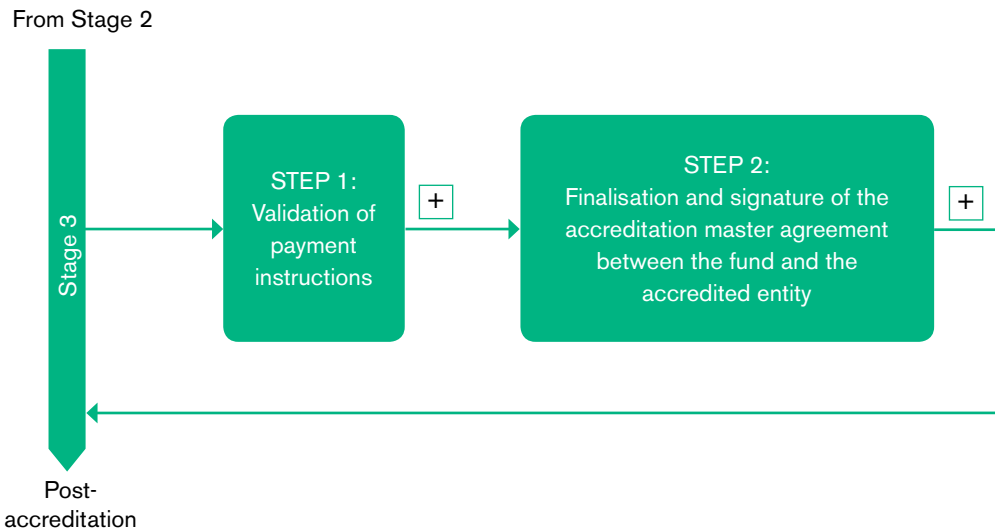
However, where these entities' demonstrated capacities under GEF, AF, or EU DEVCO are not fully compatible to GCF's standards, they are also subject

to gap analysis. Fast-track accreditation is only applicable for GEF, AF or EU DEVCO-accredited entities and it does not mean automatic accreditation. Entities still need to be approved by the Board for accreditation and go through Stage 3: legal validation.

### Stage 3: Final validation and legal arrangements

Stage 3 concludes the process through the validation and finalisation of formal arrangements between the applicant and GCF. It includes validation and registration of the accredited entity's payment instructions and the conclusion of legal arrangements between the two parties.

Figure 8. Stage 3: Post-accreditation process



# 3. How NIEs can demonstrate fiduciary standards: lessons from Senegal

ERD staff recently made an exchange visit to the Senegalese accredited entity CSE. Examples from CSE show how Bangladesh's NIEs can demonstrate fiduciary standards and safeguards for accessing and mobilising GCF.

The fiduciary criteria stipulates the NIE's capacities to identify, prepare, submit and implement funding proposals for projects and programmes in line with national climate change mitigation and adaptation needs. Its five basic elements are:

- Core financial and administrative functions
- Good governance
- Procurement processes and systems
- Transparency and integrity, and
- Project cycle management.

When seeking accreditation with the GCF, an entity must provide relevant organisational policy and evidence from past projects and processes.

These fiduciary standards were developed based on GEF, AF and EU DEVCO standards, and other best practices from the Multi-lateral Development Banks. The fiduciary guidelines of these programmes and organisations are observed during the application for accreditation; being aware of this will help develop an applicant's knowledge and understanding of the overall application and requirements.

There are two types of fiduciary standard: basic and specific. Basic standards include key administrative capabilities, transparency and accountability. The fund's specific fiduciary criteria refer to institutional

capacities that will qualify applicant entities to undertake specialised activities depending on the nature and scope of their mandate within the fund’s operations. These include project management, funding mechanisms

and on-lending or blending. All these standards should also comply with ESS and gender policy. In the following sections, we discuss how Bangladeshi NIEs can demonstrate the standards required for accreditation.

Table 3. Basic fiduciary standards

REQUIRED COMPETENCY	UNDERLYING PRINCIPLES	SPECIFIC REQUIREMENT SCOPE
<p><b>Key administrative and financial capacities</b></p>	<p>Financial inputs and outputs are properly accounted for, reported and administered transparently in accordance with pertinent regulations and laws, and with due accountability.</p>	<ul style="list-style-type: none"> <li>● General management and administrative capacities</li> <li>● Financial management and accounting</li> <li>● Internal and external audit</li> <li>● Control frameworks</li> <li>● Procurement</li> </ul>
	<p>Information relating to the entity’s overall administration and management is available, consistent, reliable, complete and conforms to the required fiduciary standards.</p>	
	<p>The entity’s operations show a track record in effectiveness and efficiency.</p>	
<p><b>Transparency and accountability</b></p>	<p>Protection and commitment against mismanagement and fraudulent, corrupt and wasteful practices.</p>	<ul style="list-style-type: none"> <li>● Disclosure of conflicts of interest</li> <li>● Code of ethics</li> <li>● Capacity to prevent or deal with financial mismanagement and other forms of malpractice</li> <li>● Investigation</li> <li>● Anti-money laundering and anti-terrorist financing</li> </ul>
	<p>Disclosure of any form of conflict of interest (actual, potential or perceived).</p>	
	<p>Code of ethics, policies and culture that drive and promote full transparency and accountability.</p>	



Table 4. Specific fiduciary standards

REQUIRED COMPETENCY	UNDERLYING PRINCIPLES	SPECIFIC REQUIREMENT SCOPE
<b>Project management</b>	Ability to identify, formulate and appraise projects or programmes	<ul style="list-style-type: none"> <li>● Project preparation and appraisal (from concept to full funding proposal)</li> <li>● Project implementation, oversight and control</li> <li>● Monitoring and evaluation</li> <li>● Project-at-risk systems and related project risk management capabilities</li> </ul>
	Competency to manage or oversee the execution of approved funding proposals, including the ability to manage EEs or project sponsors and to support project delivery and implementation	
	Capacity to consistently and transparently report on the progress, delivery and implementation of the approved funding proposal	
<b>Required competency</b>	<b>Specific requirement scope</b>	
<b>Grant award mechanisms and/or funding allocation mechanisms</b>	<ul style="list-style-type: none"> <li>● Transparent eligibility criteria and evaluation</li> <li>● Grant award decision and procedures</li> <li>● Public access to information on beneficiaries and results</li> <li>● Transparent allocation and implementation of financial resources</li> <li>● Good standing with regard to multilateral funding (e.g. through recognised public expenditure reviews)</li> </ul>	
<b>On-lending and blending</b>	<ul style="list-style-type: none"> <li>● Appropriate registration and/or license from a financial oversight body or regulator in the country and/or internationally, as applicable</li> <li>● Track record, institutional experience and existing arrangements and capacities for on-lending and blending with resources from other multilateral sources</li> <li>● Creditworthiness of the institution making on-lending or blending arrangements</li> <li>● Due diligence policies, processes and procedures in place</li> <li>● Financial resource management, including analysis of the intermediary's lending portfolio</li> <li>● Public access to information on beneficiaries and results</li> <li>● Investment management, policies and systems, including portfolio management</li> <li>● Capacity to channel funds transparently and effectively, and to transfer GCF's funding advantages to final beneficiaries</li> <li>● Financial risk management, including asset liability management</li> <li>● Governance and organisational arrangements, including relationships between the entity's treasury function and the operational side</li> <li>● For intermediaries or IEs that blend grant awards:                             <ul style="list-style-type: none"> <li>– clear procedures about the grant award rules that the implementing partner is required to apply, or</li> <li>– if the intermediary or IE uses its own rules, satisfactory minimum requirements.</li> </ul> </li> </ul>	

## 3.1 Key administrative and financial capabilities

The entity must provide evidence that:

- Financial outputs and inputs can be properly accounted for, reported and administered transparently in accordance with national and international law
- Information on the overall administration and management of the entity is publically available, and
- This information fits with basic fiduciary standards, by showing evidence of a proven track record of its operations.

It must provide evidence of consistency in the following general capacities<sup>1</sup>:

**1. General management and administrative capacities** *When becoming accredited, the GCF accreditation panel will expect conformance to the GCF management template (also related to procurement and financial management systems). The GCF, however, recognises that every country situation is different, and there may be circumstances where they may conflict with national regulations: these may need to be moulded around on individual country circumstances and are unlikely to fit perfectly.*

**2. Financial management and accounting** *The financial management system must be clear, recognisable and acceptable. CSE uses globally accepted accounting software to keep records of its transactions and accounts of income, expenditure, assets and liabilities, which helps it produce and publish annual financial statements. Senegal's public entities do not generate country-level annual financial statements, but as a member of Economic Community of West African States (ECOWAS),<sup>2</sup> they follow the same accounting and financial recording and reporting policies and system. For fund management, entities need a unique account to receive GCF funds and ensure these are transparently monitored from receipt to executing entity (EE) provision.*

**3. Internal and external audit** *Internal audits are not yet formalised within CSE, which is not a financial institution. CSE finds this area of conditional accreditation for basic fiduciary standards particularly difficult, but given CSE's environmental credentials and the type and size of projects it is accredited to implement, GCF has viewed auditing as being*

<sup>1</sup> Specific insight from the CSE, beyond that included within GCF supporting documents, is provided in italics.

<sup>2</sup> Established 28 May, 1975 via the treaty of Lagos, ECOWAS is a 15-member regional group with a mandate to promote economic integration in all fields of activity of the constituting countries.

of lesser importance. CSE audits are informal, with evidence provided simply through meeting minutes with their General Assembly. They do need to improve on any areas highlighted by the external auditor, or provide evidence to the GCF of why they have not tackled such measures. These are very important and can represent potential trip up points. For example, external auditors recommended that the CSE get insurance for all fixed assets, but this is expensive in Senegal and out of financial range for many institutions, including CSE. Provides an example of where financial trade-offs need to be met for successful accreditation.

**4. Control frameworks** A new area for CSE, which made it particularly difficult to adhere to. This was one of the areas for which they agreed conditional accreditation, recognising the importance of using a control framework to review procedures and subsequent EE activities during

project implementation. CSE provided evidence of downstream processes in past projects, which demonstrated its ability to perform due diligence over external contractors.

**5. Procurement** Although it is not mandatory, CSE suggests that entities develop their own procurement policy or guidelines, rather than relying on national policies. This is a very important step in developing institutional capacity; if an entity relies on national policy, it must perform a comprehensive gap analysis. CSE provided evidence to the GCF including examples from projects under the AF, whereby the CSE made agreements will all EEs that they would follow CSE procurement guidelines and on procurement disputes resolution. For example, after a procurement complaint was made around the purchasing of vehicles, CSE provided evidence to show how the issue was resolved in an amicable, fair and transparent manner.

## 3.2 Transparency and accountability

The entity must be able to demonstrate transparency and accountability within its own organisation and in past and future projects and/or programmes through its organisational policies, procedures, systems and approaches, as protection against mismanagement, fraud, corruption and wasteful practices. This should be provided with the entity's code of ethics and organisational policies on such issues.

The CSE has developed a transparency and accountability framework in accordance with international regulations. This is based on its interactions with international donor agencies when receiving development assistance, which always comes with strict financial conditions. When possible, entities should provide evidence of interactions with such organisations as evidence that it is able

to respond to a higher level of fiduciary standards beyond national capacities, as current GCF policies have been developed in accordance with the policies of many of these international institutions.

The entity must provide evidence of consistency in the following general capacities:

1. **Code of ethics.**
2. **Disclosure of interests**
3. **Preventing financial mismanagement**

4. **Investigations:** *This was a particularly problematic area for the CSE, as it is not current practice in Senegal (and perhaps many other developing countries) to have systems in place to investigate those in the highest levels of authority within the organisation. The CSE developed its investigatory function supporting GCF documentation.*

5. **Anti-money laundering and anti-terrorist financing policies**

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## 3.3 Project management

The entity must provide evidence from past projects to show it has the ability to identify, formulate and appraise projects and/or programmes, manage and oversee the execution of funding proposals approved by the GCF and subsequently manage EEs and/or project sponsors. This will ensure projects are implemented in line with fund requirements and national priorities, and that progress is transparently and consistently reported upon delivery.

It is important that the entity provides guiding information for staff so they know how they should perform. The CSE has resolved this with its project cycle management framework.

The entity must provide evidence of consistency in the following general capacities:<sup>3</sup>

1. **Project identification, preparation and appraisal** Both GCF and AF have highlighted project appraisal as very important. *The CSE was very proactive with the NDA for the AF and the MoE, creating a project pipeline for potential projects two to three years in advance of accreditation. However, it did not carry out project appraisals, so environmental changes in the project were not monitored, subsequently evolving during the accreditation procedure. Although the project may be fine from a technical point of view, it is still important to understand and monitor social, environmental and economic conditions that are out of the entity's control.*

<sup>3</sup> Specific insight from the CSE beyond that included within the GCF supporting documents is provided in italics.

**2. Project oversight and control**

*NDA plays an important role in providing additional insight to NIE during the project preparation and implementation phase.*

- 3. Monitoring and evaluation (M&E)** *This can be very useful to gain insight from externals; civil society organisations can be particularly helpful. An M&E plan was one of CSE's key capacity developments stemming out of the GCF and AF experience.*

**4. Project at risk management**

**capabilities** *It is essential to have a system in place that can fix unexpected issues as quickly as possible so project development is not hampered. This will be linked to the monitoring and evaluation plan mentioned above.*

CSE also found project closure to be very important, and concluded that it should take place at least one year before the potential end of a project. This should be viewed as a process and not an individual event.

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## 3.4 Environmental and social safeguards

ESS is part of the GCF's initial guiding framework, and can be expected to change in the near future. Once enough supported projects have been developed and provided enough feedback, the projects will develop their own ESS tailored to the needs of the GCF. Presently, the GCF's ESS is based on the performance standards (PS) of the International Finance Corporation (IFC).

The IFC's eight performance standards will be applied through a modular, scaled, risk-based approach to all GCF-funded activities. In a departure from a conventional project-oriented approach, GCF-accredited entities will have demonstrated their compliance of ESS at project and institutional level.



Bera, Rajshahi, Bangladesh © Enamur Reza, flickr.com

Table 5. Performance standards of GCF's interim ESS

PERFORMANCE STANDARDS	REQUIRED COMPETENCES	DEMONSTRATION EVIDENCE
<b>PS1: ASSESSMENT AND MANAGEMENT OF ENVIRONMENTAL AND SOCIAL RISKS AND IMPACTS</b>	<ul style="list-style-type: none"> <li>• Identify funding proposal's environmental and social risks and impacts</li> <li>• Adopt mitigation hierarchy: anticipate, avoid, minimise, compensate or offset</li> <li>• Improve performance through an environmental and social management system</li> <li>• Engage with affected communities or other stakeholders throughout funding proposal cycle.</li> </ul>	Institutional-focused: <ul style="list-style-type: none"> <li>• ESMS</li> <li>• Institutional capacity and commitment to execute ESS in track records of previous practices</li> </ul>
<b>PS2: LABOUR AND WORKING CONDITIONS</b>	<ul style="list-style-type: none"> <li>• Fair treatment, non-discrimination, equal opportunity</li> <li>• Good worker–management relationship</li> <li>• Comply with national employment and labor laws</li> <li>• Protect workers, in particular those in vulnerable categories</li> <li>• Promote safety and health</li> <li>• Avoid use of forced labor or child labour.</li> </ul>	Project level: <ul style="list-style-type: none"> <li>• Project/programme proposal</li> <li>• Track records of specific projects/activities to show consistent compliance of ESS implementation</li> </ul>
<b>PS3: RESOURCE EFFICIENCY AND POLLUTION PREVENTION</b>	<ul style="list-style-type: none"> <li>• Avoid, minimise or reduce project-related pollution</li> <li>• More sustainable use of resources, including energy and water</li> <li>• Reduce project-related greenhouse gas emissions.</li> </ul>	

*continues*



Table 5. Performance standards of GCF's interim ESS (cont.)

PERFORMANCE STANDARDS	REQUIRED COMPETENCES	DEMONSTRATION EVIDENCE
<b>PS4: COMMUNITY HEALTH, SAFETY AND SECURITY</b>	<ul style="list-style-type: none"> <li>● Anticipate and avoid adverse impacts on the health and safety of the affected community</li> <li>● Safeguard personnel and property in accordance with relevant human rights principles.</li> </ul>	Project level: <ul style="list-style-type: none"> <li>● Project/programme proposal</li> <li>● Track records of specific projects/activities to show the consistent compliance of ESS implementation</li> </ul>
<b>PS5: LAND ACQUISITION AND INVOLUNTARY RESETTLEMENT</b>	<ul style="list-style-type: none"> <li>● Avoid/minimise adverse social and economic impacts from land acquisition or restrictions on land use by:                             <ul style="list-style-type: none"> <li>– avoiding/minimising displacement</li> <li>– providing alternative project designs, and/or</li> <li>– avoiding forced evictions.</li> </ul> </li> <li>● Improve or restore livelihoods and standards of living</li> <li>● Improve living conditions among displaced persons by providing:                             <ul style="list-style-type: none"> <li>– adequate housing, and/or</li> <li>– security of tenure.</li> </ul> </li> </ul>	
<b>PS6: BIODIVERSITY CONSERVATION AND SUSTAINABLE MANAGEMENT OF LIVING NATURAL RESOURCES</b>	<ul style="list-style-type: none"> <li>● Protection and conservation of biodiversity</li> <li>● Maintenance of benefits from ecosystem services</li> <li>● Promotion of sustainable management of living natural resources</li> <li>● Integration of conservation needs and development priorities.</li> </ul>	
<b>PS7: INDIGENOUS PEOPLES</b>	<ul style="list-style-type: none"> <li>● Ensure full respect for indigenous peoples'                             <ul style="list-style-type: none"> <li>– human rights, dignity and aspirations</li> <li>– livelihoods</li> <li>– culture, knowledge and practices</li> </ul> </li> <li>● Avoid/minimise adverse impacts</li> <li>● Ensure sustainable and culturally appropriate development benefits and opportunities</li> <li>● Gain free, prior and informed consent in certain circumstances.</li> </ul>	
<b>PS8: CULTURAL HERITAGE</b>	<ul style="list-style-type: none"> <li>● Protect and preserve cultural heritage</li> <li>● Promote equitable sharing of cultural heritage benefits.</li> </ul>	

Applicant entities are expected to develop an ESMS to consistently implement PS1–8, which should include:

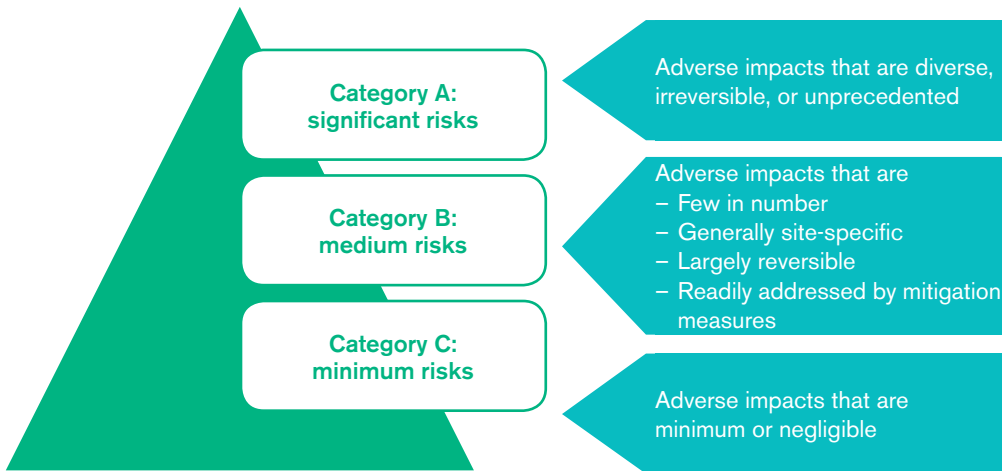
- A policy
- A process to identify risks and impacts consistent with PS1–8
- A management programme for mitigation measures and actions that stem from risks and impacts
- An identification process consistent with PS1–8
- Organisational capacity and competencies to properly implement PS1–8

- A monitoring and review programme to ensure completion of mitigation actions, which should facilitate learning and include reporting on the effectiveness of the ESMS, and
- An external communication channel that facilitates receipt of and response to external inquires.

At the project/programme level, activities will be categorised into three levels, based on the significance of their potential environmental and social risks. The three categories are: A significant risks, B medium risks and C minimum risks.

Below we provide examples of how CSE has attempted to demonstrate the ESS standards where needed

Figure 9. Clarification of environmental and social risk



## PS8 Cultural heritage

The entity must provide evidence of consistency in the following general capacities:

1. **ESMS:** *The low environmental risk projects that the CSE is accredited for did not require this to be extensively developed.*<sup>5</sup>
2. **Policy:** *Formal Environmental and Social (E&S) Policy for PS1–8, in line with national law.*
3. **Identification of risks and impacts:** *Demonstrate Processes and track record for identifying E&S risks and impacts from potential projects against PS1–8. For Category C (minimum risk), which CSE is accredited for, this can only be performed as a screening process.*
4. **Management programme:** *Demonstrate processes and track record for mitigating impacts stemming from the projects. For CSE, this only needed to be in line with Category C-level of risk. Programmes should be clearly developed and shared for ways in which to tackle potential unanticipated risks.*
5. **Organisational capacity and competency:** *Develop defined roles, responsibilities and reporting lines of authority for ESMS implementation to ensure the right staff is responsible for overseeing and implementing PS1–8 in projects and funding proposals. In CSE, only designated staff requires knowledge of PS1–8, with categorisation of funding proposals through a screening process.*
6. **Monitoring and review:** *Demonstrate detailed processes and track record of how programmes and/or projects or monitoring are performed to completion to ensure PS1–8 are met. Moderate monitoring capacities are required for CSE, but CSE still need to show how these will be implemented and achieved in future projects.*
7. **External communication:** *Communicate with members of the public and other entities to assist in project screening and issue raising. Responses should be tracked in the future, with examples from past projects.*

The GCF provides a lot of flexibility on the formation of the ESMS, which can be fully formalised at a later date with respect to a conditional accreditation offer.

## 3.5 Gender policy

The entity must be able to demonstrate competent policies and procedures to implement the GCFs gender policy, with evidence of non-discriminatory practice from past projects. It is not enough to rely on national regulation; the entity must create its own gender policy which falls in line with the GCF policy.

Despite the lack of national experience on gender equality issues, the CSE managed to create and implement its own policy. It has provided guidance for others, specifically, that a gender policy should:

- Be implemented into the core of the business activities of the organisation, not just at project level
- Influence procurement and other such procedures within the EEs under the legal responsibility of the NIE during projects, considering gaps between its own and the entity's own gender policies, and
- Be made publically available and communicated with staff.

The GCF has introduced a six-principle gender policy, which aims to ensure that, by adopting a gender-sensitive approach, the fund and its stakeholder entities will efficiently contribute to gender equality, achieving greater and more sustainable climate change results, outcomes and impacts. Applicant entities who seek accreditation are expected to demonstrate their competencies, policies and procedures to implement GCF's gender policy; previous experience of implementing gender policy through project examples; and experience in gender and climate change, including a track record on lending to both women and men. If they cannot demonstrate the elements mentioned above, they should demonstrate a willingness to acquire or develop the needed competencies, policies and procedures for gender-sensitive project preparation, design, implementation and reporting.

Table 6. GCF's gender policy

<b>CORE PRINCIPLES</b>	<ul style="list-style-type: none"> <li>● <b>Commitment</b> to gender equality and equity</li> <li>● <b>Inclusiveness</b> in terms of applicability to all the fund's activities</li> <li>● <b>Accountability</b> for gender and climate change results and impacts</li> <li>● <b>Country ownership</b> in terms of alignment with national policies and priorities and inclusive stakeholder participation</li> <li>● <b>Competencies</b> throughout the fund's institutional framework</li> <li>● <b>Equitable resource allocation</b> so that women and men benefit equitably from the fund's adaptation and mitigation activities</li> </ul>
<b>OPERATIONAL GUIDE AND DEMONSTRATION EVIDENCE</b>	<ul style="list-style-type: none"> <li>● Accredited entities will be required to undertake a mandatory initial socioeconomic and gender assessment, complementary to the ESS process, to collect baseline data and:             <ul style="list-style-type: none"> <li>– Determine how the project/programme can respond to the needs of women and men in view of the specific climate change issue to be addressed</li> <li>– Identify the drivers of change and the gender dynamics to achieve the project/programme adaptation or mitigation goals</li> <li>– Identify and design specific gender elements to be included in the project/programme activities</li> <li>– Estimate implementation budgets</li> <li>– Select output, outcome and impact indicators, and</li> <li>– Design project/programme implementation and monitoring institutional arrangements.</li> </ul> </li> <li>● Gender-equitable stakeholder consultations, with gender parameters built into policy</li> <li>● Inclusion of gender perspective in the application of mandatory project/programme ESS in line with project/programme-specific requirements of GCF's ESS</li> <li>● Project screening for gender sensitivity at the various stages of project preparation, appraisal, approval and monitoring, by the relevant bodies (NDA, accredited entities, Secretariat).</li> </ul>

## 4. Documents required for accreditation

The applicant entity may provide documentation in support of its application. The Secretariat (Stage 1 of the accreditation process) and the Accreditation Panel (at Stage 2) decide whether the supporting documentation submitted by the applicant is sufficient. All applications must be completed and submitted in English. All supporting documentation must be in English or accompanied by an English translation.

At a minimum, an application for accreditation by the fund will include the following key sections to be completed by the applicant entity:

1. Application number and processing information (automatically signed by the Secretariat)
2. Background and contact information for the applicant entity
3. Information on the scope of intended activities and estimated contribution requested for an individual project or activity
4. Basic fiduciary criteria
5. Applicable specialized fiduciary criteria
6. Environmental and social safeguards
7. Gender

Application documents regarding fiduciary standards (basic and specialised), ESS and gender policy, please refer to the previous sections, which include some required documents such as finance statements, code of ethics etc. GCF has not specified what documents should be provided to demonstrate compliance with the fund's standards. Applicant entities are encouraged to communicate with the Secretariat about whether the submitted documents provide sound demonstration. The Accreditation Panel, with support from the Secretariat, will determine the format of the application template containing at a minimum the content identified within this document.

Table 7. Documents required for accreditation

<b>BACKGROUND AND CONTACT INFORMATION OF THE APPLICANT ENTITY</b>	<p>At a minimum, the application for accreditation should include the following items related to the background and contact information of the applicant entity:</p> <ul style="list-style-type: none"> <li>• Legal name</li> <li>• Institution type (public/private, etc.), size and core business (international, regional, national or subnational; including private sector and other institutions, etc.)</li> <li>• Summary of climate change-related projects or programmes already implemented</li> <li>• Registered address</li> <li>• Website, if applicable</li> <li>• First and last names of the primary and secondary contact points</li> <li>• E-mail addresses of the primary and secondary contact points</li> <li>• Telephone numbers of the primary and secondary contact points</li> <li>• Fax numbers of the primary and secondary contact points</li> </ul>
<b>INTENDED ACTIVITY: SCOPE AND ESTIMATED CONTRIBUTION</b>	<ul style="list-style-type: none"> <li>• Type (sector), theme (adaptation/mitigation), size (scale and estimated total costs) and risk level of intended activities to be undertaken using the fund's resources (against the ESS categories)</li> <li>• Estimated maximum contribution amount for a project or activity to be requested from the fund in US\$ and type(s) of financial instrument(s) for intended activities</li> <li>• Sources of additional finance, if applicable, for intended activities</li> <li>• Indication of the standards against which the application will be assessed: <ul style="list-style-type: none"> <li>– Basic fiduciary standards</li> <li>– ESS</li> <li>– Specialised fiduciary standards (if applicable)</li> <li>– Gender policy.</li> </ul> </li> </ul>

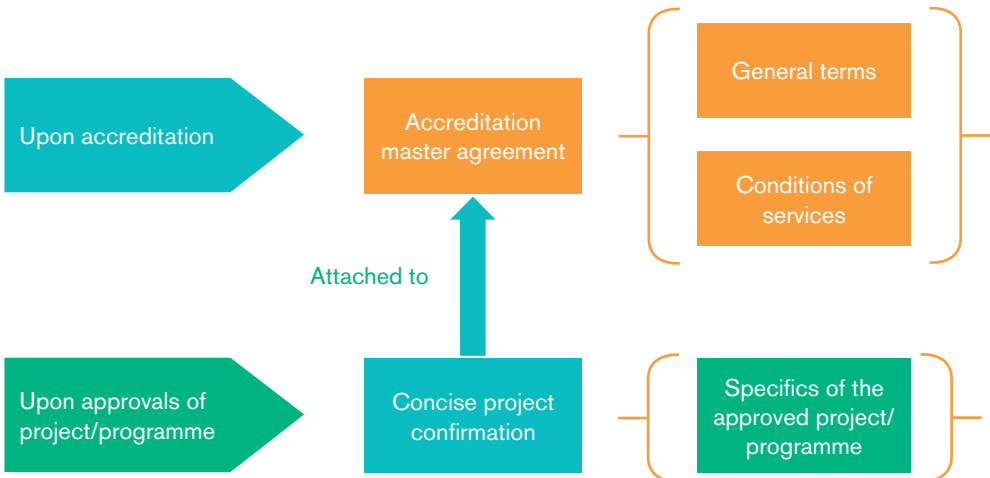


# 5. Legal arrangements

Legal and formal arrangements with accredited entities are first and foremost a reflection of successful accreditation by the Board and completion of the review process. Reflecting the fit-for-purpose accreditation principle, a distinction must be made between various types of entity and their type of accreditation, rather than a 'one-size-fits-all' legal format.

Depending on the type of accredited entity, the relationship between the fund and such an entity would take the form of either a legal agreement (a contract governed by private law) or a legal arrangement (an arrangement governed by international public law).

Figure 10. Structure of a legal agreement



## 5.1 Roles and responsibilities of accredited entities

Accredited entities have the general role of implementing and supervising all aspects of the fund's projects and programme activities. They have a full obligation to develop a project/programme pipeline and be responsible for all aspects of project appraisal, structuring, implementation, supervision and evaluation, including due diligence on financial, technical, legal, environmental and social issues.

Accredited entities are to report to the fund on all matters relating to their activities, including implementation progress, performance, results and impacts of the projects/programme activities, so that the fund can exercise its monitoring, supervisory and evaluation role.



Bangladesh, Khulna Division. A farmer on the road to Sathkira. © E. Rasmussen, flickr.com

# 6. Accreditation application form

## Instructions

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

- ii. 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. 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.

### 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 track record. Track record may include, but is not limited to, information on climate change-related projects or programmes already undertaken. The Secretariat (at Stage I, 'institutional assessment and completeness check', in the accreditation process) and the Accreditation Panel (at Stage II 'review') will decide whether the supporting documentation submitted by the applicant entity is deemed sufficient.



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SECTION I: Background and Contact Information of the Applicant Entity

ITEM	INFORMATION REQUIRED	APPLICABILITY	INPUT DATA	EXAMPLES OF SUPPORTING DOCUMENTS
1.1	<b>Background Information</b>			
1.1.1	Legal name of the applicant entity	All applicants		For all types of entities: <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: <ul style="list-style-type: none"> <li><input type="checkbox"/> International</li> <li><input type="checkbox"/> Regional</li> <li><input type="checkbox"/> National</li> <li><input type="checkbox"/> Subnational</li> <li><input type="checkbox"/> Public sector</li> <li><input type="checkbox"/> Private sector</li> <li><input type="checkbox"/> Other (please specify):</li> </ul>	
1.1.3	Size of institution	All applicants	Select one: <ul style="list-style-type: none"> <li><input type="checkbox"/> 1–10 employees</li> <li><input type="checkbox"/> 11–50 employees</li> <li><input type="checkbox"/> 51–200 employees</li> <li><input type="checkbox"/> 201–500 employees</li> <li><input type="checkbox"/> 501–1,000 employees</li> <li><input type="checkbox"/> 1,001–5,000 employees</li> <li><input type="checkbox"/> 5,001–10,000 employees</li> <li><input type="checkbox"/> Over 10,000 employees</li> </ul>	For all types of entities: <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>

ITEM	INFORMATION REQUIRED	APPLICABILITY	INPUT DATA	EXAMPLES OF SUPPORTING DOCUMENTS
1.1.4	Core business	All applicants		<p>For national, sub-national, public and private sector entities:</p> <ul style="list-style-type: none"> <li>● Mission Statement;</li> <li>● Business permit;</li> <li>● License to operate.</li> </ul> <p>For international and regional entities:</p> <ul style="list-style-type: none"> <li>● Governing instrument;</li> <li>● Agreement to establish the entity.</li> </ul>
1.1.5	Sector(s) that the entity operates in	All applicants		
1.1.6	Registered address, including Country Postal Code	All applicants		
1.1.7	Website	All applicants		
1.1.8	Primary Focal Point	All applicants		<p>For all types of entities:</p> <ul style="list-style-type: none"> <li>● Official letter from the applicant entity designating the selected person as the Primary Focal Point.</li> </ul>
1.1.9	First Name	All applicants		
1.1.10	Late Name	All applicants		
1.1.11	Position/Title	All applicants		
1.1.12	Email	All applicants		
1.1.13	Telephone	All applicants		
	Fax	All applicants		

ITEM	INFORMATION REQUIRED	APPLICABILITY	INPUT DATA	EXAMPLES OF SUPPORTING DOCUMENTS
1.1.14	Secondary Focal Point	All applicants	First Name	For all types of entities: <ul style="list-style-type: none"> <li>Official letter from the applicant entity designating the selected person as the Secondary Focal Point.</li> </ul>
1.1.15		All applicants	Last Name	
1.1.16		All applicants	Position/Title	
1.1.17		All applicants	Email	
1.1.18		All applicants	Telephone	
1.1.19		All applicants	Fax	
1.2	<b>Background Information on Track Record</b>			
1.2.1	Type(s) of projects/programmes undertaken	All applicants	Select all that apply: Mitigation: <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> Adaptation: <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> <li><input type="checkbox"/> Institutional and regulatory systems</li> <li><input type="checkbox"/> Climate information/early warning systems</li> <li><input type="checkbox"/> Awareness strengthening and climate risk reduction</li> </ul> Public/private: <ul style="list-style-type: none"> <li><input type="checkbox"/> Public</li> <li><input type="checkbox"/> Private</li> <li><input type="checkbox"/> Cross-cutting</li> </ul>	



ITEM	INFORMATION REQUIRED	APPLICABILITY	INPUT DATA	EXAMPLES OF SUPPORTING DOCUMENTS
1.2.2	Size(s) of projects/programmes undertaken, including total project costs in US\$ and duration	All applicants		<p>For all types of entities:</p> <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 and duration.</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>	<p>For all types of entities:</p> <ul style="list-style-type: none"> <li>One copy of agreement for each of the financial instrument(s) deployed in projects/programmes undertaken.</li> </ul>
1.2.4	Environmental and social risk level(s) of projects/programmes undertaken	All applicants	<p>Select all that apply:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Category A / Intermediation 1 (high) directly</li> <li><input type="checkbox"/> Category A / Intermediation 1 (high) indirectly through executing entities</li> <li><input type="checkbox"/> Category B / Intermediation 2 (medium) directly</li> <li><input type="checkbox"/> Category B / Intermediation 2 (medium) indirectly through executing entities</li> <li><input type="checkbox"/> Category C / Intermediation 3 (minimal to none) directly</li> <li><input type="checkbox"/> Category C / Intermediation 3 (minimal to none) indirectly through executing entities</li> </ul>	

ITEM	INFORMATION REQUIRED	APPLICABILITY	INPUT DATA	EXAMPLES OF SUPPORTING DOCUMENTS
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>	For all types of entities: <ul style="list-style-type: none"> <li>• Evidence (e.g. project/ programme completion report) showing how selected Performance Standards have been managed in previous projects/programmes.</li> </ul>
1.3	<b>Background Information on Accreditation by Other Funds for Institutions</b>			
1.3.1	Conditions and limitations, if any, regarding accreditation with 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		For all types of entities: <ul style="list-style-type: none"> <li>• Letter of confirmation of accreditation;</li> <li>• List of conditions and limitations.</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		For all types of entities: <ul style="list-style-type: none"> <li>• Letter or report indicating compliance status regarding 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 DOCUMENTS
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	<p>A statement detailing the ways in which the entity will contribute to furthering the objectives of the Green Climate Fund.</p>	<p>All applicants</p>		<p>Not Required</p>
2.2	<p>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 Climate Fund in order to enhance country ownership</p>	<p>Optional for entities under international access track Not required for all other entities</p>		<p>Not Required</p>

SECTION III: Intended Scope of Projects/Programmes and Estimated Contribution Requested

ITEM	INFORMATION REQUIRED	APPLICABILITY	INPUT DATA	EXAMPLES OF SUPPORTING DOCUMENTS
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)	Not Required
2.2	Type(s) of intended projects/ programmes	All applicants Not required for all other entities	Select all that apply: Mitigation: <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): _____ Adaptation: <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 <input type="checkbox"/> Awareness strengthening and climate risk reduction Other (please specify): _____ Public/private: <input type="checkbox"/> Public <input type="checkbox"/> Private <input type="checkbox"/> Cross-cutting	Not Required

ITEM	INFORMATION REQUIRED	APPLICABILITY	INPUT DATA	EXAMPLES OF SUPPORTING DOCUMENTS
3.3	Size(s) of intended projects/ programmes, including duration	All applicants	<p>Select all that apply:</p> <p><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: _____;</p> <p><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: _____;</p> <p><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 project or an activity within a programme) and duration: _____; and</p> <p><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: _____.</p>	Not required
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		Not required

ITEM	INFORMATION REQUIRED	APPLICABILITY	INPUT DATA	EXAMPLES OF SUPPORTING DOCUMENTS
3.5	Type(s) of financial instrument(s) for intended projects/ programmes to be requested from the Green Climate Fund	All applicants	<p>Select all that apply:</p> <p>The following requires accreditation against the specialized fiduciary criteria for grant award and/or funding allocation mechanisms:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Grants (in some cases this may be reimbursable)</li> </ul> <p>The following require accreditation against Specialized fiduciary criteria for on-lending and/or blending:</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>	Not required
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		Not required
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, ESS and gender</li> <li><input type="checkbox"/> Specialized fiduciary criteria for project management</li> <li><input type="checkbox"/> Specialized fiduciary criteria for grant award and/or funding allocation mechanisms</li> <li><input type="checkbox"/> Specialized fiduciary criteria for on-lending and/or blending</li> </ul>	Not applicable
3.8	Environmental and social risk level(s) of intended activities	All applicants	<p>Select all that apply:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Category A / Intermediation 1 (high) directly</li> <li><input type="checkbox"/> Category A / Intermediation 1 (high) indirectly through executing entities</li> <li><input type="checkbox"/> Category B / Intermediation 2 (medium) directly</li> <li><input type="checkbox"/> Category B / Intermediation 2 (medium) indirectly through executing entities</li> <li><input type="checkbox"/> Category C / Intermediation 3 (minimal to none) directly</li> <li><input type="checkbox"/> Category C / Intermediation 3 (minimal to none) indirectly through executing entities</li> </ul>	Not required

SECTION IV: Basic fiduciary criteria

ITEM	AREA OF COMPETENCE	SPECIFIC CAPACITY REQUIRED	APPLICABILITY	INPUT DATA	EXAMPLES OF SUPPORTING DOCUMENTS
4.1	Underlying principles for key administrative and financial capacities 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.	<b>Key administrative and financial capacities</b>			
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>For all types of entities:</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> <li>● Copies of applicant's long or medium -term strategic plan and annual budgets for each of the past 2 years and information on how the entity ensures that the strategic plan and annual budget objectives support and align with the mission of the entity;</li> <li>● Brief write up on processes/ procedures and responsibilities for monitoring and reporting on progress made in attainment of set objectives.</li> </ul>



ITEM	AREA OF COMPETENCE	SPECIFIC CAPACITY REQUIRED	APPLICABILITY	INPUT DATA	EXAMPLES OF SUPPORTING DOCUMENTS
4.1.2	Financial management and accounting	Periodic preparation and reporting of financial statements in accordance with recognized accounting standards.	All applicants		<p>For all types of entities:</p> <ul style="list-style-type: none"> <li>● Financial Statements for the past 3 years. The Statements should include:                             <ol style="list-style-type: none"> <li>i. Notes and Disclosures explaining the accounting framework used, the basis of preparation of the financial statements, and the specific accounting policies;</li> <li>ii. A statement of changes in financial position or a statement of changes in reserves and fund balances;</li> <li>iii. A statement of cash flows;</li> </ol> </li> <li>● Brief details of the Financial Information Systems including a list of major reports prepared;</li> <li>● Sample reports prepared that demonstrate the functioning of the system.</li> </ul>
4.1.3	Internal and external audit	Fully functional independent audit committee; the 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	All applicants		<p>For all types of entities:</p> <ul style="list-style-type: none"> <li>● Terms of Reference of the external audit firm or organization;</li> <li>● Agenda and minutes of the last 2 Audit Committee meetings;</li> <li>● Audit policy/charter and/or audit manual;</li> <li>● Audit plans for each of the past 3 years;</li> <li>● Status of execution of the last 3 years' internal audit plans;</li> <li>● Sample internal audit reports, including those relating to procurement, internal control systems and payments and disbursements, if available;</li> <li>● Complete external audit reports for the last 3 years, if not included in the financial statements provided at Section 4.1.2;</li> <li>● Status of action taken on all the observations/recommendations contained in the external and internal audit reports of the last 3 years.</li> </ul>

ITEM	AREA OF COMPETENCE	SPECIFIC CAPACITY REQUIRED	APPLICABILITY	INPUT DATA	EXAMPLES OF SUPPORTING DOCUMENTS
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>For all types of entities:</p> <ul style="list-style-type: none"> <li>● Financial control policy;</li> <li>● Financial control procedures;</li> <li>● The Internal Control Framework as outlined in the Fiduciary Standard has a number of requirements which have not been explicitly captured in the application form. Therefore, documentation should be provided to demonstrate the following:               <ol 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 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 in each of the financial management areas;</li> <li>iii. 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> </ol> </li> </ul>

ITEM	AREA OF COMPETENCE	SPECIFIC CAPACITY REQUIRED	APPLICABILITY	INPUT DATA	EXAMPLES OF SUPPORTING DOCUMENTS
4.1.5	Procurement	Formal procurement standards, guidelines and systems in place to ensure fair and transparent procurement processes	All applicants		<p>For all types of entities:</p> <ul style="list-style-type: none"> <li>● Procurement Policy;</li> <li>● Procurement guidelines or standards including composition and role of various committees, such as procurement Committee tender evaluation committee, etc.;</li> <li>● Specific guidelines for different types of procurement managed by the entity, such as consultants/service providers, goods/supplies and works;</li> <li>● Procedures for overseeing the procurement function;</li> <li>● Procedures for controlling procurement in Executing Agencies;</li> <li>● Procurement dispute resolution process;</li> <li>● As evidence of compliance with the established policies and guidelines, the following documents/information should be provided:               <ol style="list-style-type: none"> <li>i. 2 sets of documents pertaining to large procurements undertaken in the recent past;</li> <li>ii. A sample of procurement oversight/ audit reports;</li> <li>iii. Data on procurement complaints handled in the last 2 years along with brief details of sample cases and their closure.</li> </ol> </li> </ul>

ITEM	AREA OF COMPETENCE	SPECIFIC CAPACITY REQUIRED	APPLICABILITY	INPUT DATA	EXAMPLES OF SUPPORTING DOCUMENTS
4.2	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 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.	<b>Transparency and accountability</b>			
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>For all types of entities:</p> <ul style="list-style-type: none"> <li>Code of Ethics policy/standards or documented code of ethics applicable to the staff;</li> <li>Documented evidence of a contractual nature that communicates this policy to all staff and other parties functionally related to the organization;</li> <li>Organizational ethics committee, including names and roles.</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>For all types of entities:</p> <ul style="list-style-type: none"> <li>Financial disclosure policy;</li> <li>Conflict of interest review and resolution procedures;</li> <li>Demonstration of practice, for example annual disclosure of interest statements by employees;</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>For all types of entities:</p> <ul style="list-style-type: none"> <li>Policy on financial management;</li> <li>Evidence of a statement from top management communicating a policy of zero tolerance for fraud, financial mismanagement and other forms of malpractice;</li> <li>Procedures for dealing with financial mismanagement and other forms of malpractice;</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>Procedures for whistle blower protection.</li> </ul>

ITEM	AREA OF COMPETENCE	SPECIFIC CAPACITY REQUIRED	APPLICABILITY	INPUT DATA	EXAMPLES OF SUPPORTING DOCUMENTS
4.2.4	Investigations	Evidence of an independent and objective investigation function for allegations of fraud and corruption, with publicly available terms of reference	All applicants		For all types of entities: <ul style="list-style-type: none"> <li>• Investigations structure within the organisation or within the government structure;</li> <li>• Procedures for investigating fraud and corruption within the entity or within the government structure;</li> <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		For all types of entities: <ul style="list-style-type: none"> <li>• Anti-money laundering and anti-terrorist 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>

Section V: Specialized fiduciary criteria

ITEM	AREA OF COMPETENCE	SPECIFIC CAPACITY REQUIRED	APPLICABILITY	INPUT DATA	EXAMPLES OF SUPPORTING DOCUMENTS
5.1	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.	<b>Project management</b>			
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>For all types of entities:</p> <ul style="list-style-type: none"> <li>Project preparation guidelines;</li> <li>Project appraisal guidelines;</li> <li>Policy or other document that outlines the entity's risk assessment procedures/framework;</li> <li>3 examples of project appraisals undertaken in the past 3 years (preferably climate change mitigation or adaptation projects) demonstrating the capacity to:                             <ol style="list-style-type: none"> <li>Mainstream environmental, social and climate change aspects into project preparation and appraisal, and</li> <li>Assess project risks and integrate corresponding mitigation strategies.</li> </ol> </li> </ul>
5.1.2	Project oversight and control	Operational capacity and procedures to oversee the implementation of the approved funding proposal, monitor performance and assess project expenditure against project budget; appropriate reporting capabilities	Required for applicants seeking project management accreditation		<p>For all types of entities:</p> <ul style="list-style-type: none"> <li>Operational manual/procedures;</li> <li>3 detailed project implementation progress reports for projects implemented in the past 3 years;</li> <li>Analysis of project expenditure compared to the project budget and a brief explanation of major variances.</li> </ul>

ITEM	AREA OF COMPETENCE	SPECIFIC CAPACITY REQUIRED	APPLICABILITY	INPUT DATA	EXAMPLES OF SUPPORTING DOCUMENTS
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 documented and recognized standards; an evaluation disclosure policy is in place	Required for applicants seeking project management accreditation		For all types of entities: <ul style="list-style-type: none"> <li>● Policy or other document outlining the entity's Monitoring and Evaluation function (including roles and responsibilities);</li> <li>● Monitoring and evaluation procedures during implementation;</li> <li>● 3 sample monitoring and evaluation reports (including independent evaluations);</li> <li>● Evaluation disclosure policy;</li> <li>● Terms of Reference of independent evaluation body.</li> </ul>
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		For all types of entities: <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	<p><b>Grant award and/or funding allocation mechanisms</b></p> <p>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.</p>				
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 authorized body in accordance with good practice	Required for applicants seeking grant award and/or funding allocation mechanism accreditation		For all types of entities: <ul style="list-style-type: none"> <li>● Terms of Reference for the grant award evaluation committee;</li> <li>● Grant award evaluation procedures;</li> <li>● External auditor's report on an audit of the entity's grant award activities.</li> </ul>



ITEM	AREA OF COMPETENCE	SPECIFIC CAPACITY REQUIRED	APPLICABILITY	INPUT DATA	EXAMPLES OF SUPPORTING DOCUMENTS
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		For all types of entities: <ul style="list-style-type: none"> <li>Evidence of publication of grant award results for the past 3 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 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	Required for applicants seeking grant award and/or funding allocation mechanism accreditation		For all types of entities: <ul style="list-style-type: none"> <li>Evidence of monitoring of implementation of 3 projects in the past 3 years;</li> <li>Grant beneficiaries procurement rules;</li> <li>Suspension, reduction or termination of grant procedures.</li> </ul>
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		For all types of entities: <ul style="list-style-type: none"> <li>Evidence of good standing with regard to multilateral funding;</li> <li>Public expenditure reviews.</li> </ul>

ITEM	AREA OF COMPETENCE	SPECIFIC CAPACITY REQUIRED	APPLICABILITY	INPUT DATA	EXAMPLES OF SUPPORTING DOCUMENTS
5.3	<p>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.</p> <p><b>On-lending and/or blending</b></p>				
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>For all types of entities:</p> <ul style="list-style-type: none"> <li>On-lending registration or license from a national or international regulator.</li> </ul>
5.3.2	Track record, institutional experience and existing arrangements and capacities for on-lending and blending with resources from other international or multilateral sources	Previous experience with on-lending or blending using international or multilateral resources	Required for applicants seeking on-lending and/or blending accreditation		<p>For all types of entities:</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> </ul>
5.3.3	Creditworthiness	Capacity to safely lend money to other entities	Required for applicants seeking on-lending and/or blending accreditation		<p>For all types of entities:</p> <ul style="list-style-type: none"> <li>Ratings from recognized international credit rating companies.</li> </ul>

ITEM	AREA OF COMPETENCE	SPECIFIC CAPACITY REQUIRED	APPLICABILITY	INPUT DATA	EXAMPLES OF SUPPORTING DOCUMENTS
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>For all types of entities:</p> <ul style="list-style-type: none"> <li>On-lending and/or blending policy;</li> <li>On-lending and/or blending procedures;</li> <li>2 on-lending and/or blending due diligence reports.</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>For all types of entities:</p> <ul style="list-style-type: none"> <li>Financial management policy;</li> <li>Procedures for evaluating intermediary's portfolio;</li> <li>2 lending portfolio 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 results of projects funded by the entity	Required for applicants seeking on-lending and/or blending accreditation		<p>For all types of entities:</p> <ul style="list-style-type: none"> <li>Evidence of publication of beneficiaries and results of 3 projects in the past 3 years (preferably climate change mitigation and 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>For all types of entities:</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.</li> </ul>

ITEM	AREA OF COMPETENCE	SPECIFIC CAPACITY REQUIRED	APPLICABILITY	INPUT DATA	EXAMPLES OF SUPPORTING DOCUMENTS
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		For all types of entities: <ul style="list-style-type: none"> <li>• 3 projects showing the advantages to final beneficiaries of projects implemented by the entity;</li> <li>• Information on systems that are applied for this purpose.</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		For all types of entities: <ul style="list-style-type: none"> <li>• Financial risk management procedures;</li> <li>• 2 samples of the minutes of recent meetings of the entity's Asset and Liability Committee (ALCO).</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		For all types of entities: <ul style="list-style-type: none"> <li>• Details of the relationship between the treasury function and the operational function;</li> <li>• Evidence of segregation of duties.</li> </ul>

SECTION VI: Environmental and social safeguards

ITEM	AREA OF COMPETENCE	SPECIFIC CAPACITY REQUIRED	APPLICABILITY	INPUT DATA	EXAMPLES OF SUPPORTING DOCUMENTS
6	Environmental and Social Management System (ESMS)	<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-145 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-246 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> <li>Entities that desire to undertake Category C/I-347 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	<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;49</li> <li>Is endorsed by Senior Management;</li> <li>Is communicated to all levels of its organization and may be communicated publicly.</li> </ul>	Required for applicants seeking Category A/I-1 accreditation		<p>For all types of entities:</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> <li>Year when E&amp;S policy or equivalent was approved/endorsed.</li> </ul>

ITEM	AREA OF COMPETENCE	SPECIFIC CAPACITY REQUIRED	APPLICABILITY	INPUT DATA	EXAMPLES OF SUPPORTING DOCUMENTS
		<p><b>Category B/1-2</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/1-2 accreditation		<p>For all types of entities:</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/1-3</b> Not required.</p>	Required for applicants seeking Category C/1-3 accreditation		Not required.

ITEM	AREA OF COMPETENCE	SPECIFIC CAPACITY REQUIRED	APPLICABILITY	INPUT DATA	EXAMPLES OF SUPPORTING DOCUMENTS
6.2	Identification of Risks and Impacts	<p><b>Category A/1-1</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> <li>● Is consistent with good international industry practice;</li> <li>● Is consistent with PS1-8;</li> <li>● Is integrated into operations</li> </ul>	Required for applicants seeking Category A/1-1 accreditation	<p>For GEF-accredited entities under the fast-track accreditation process: 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 and safety, protection of priority 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>For all types of entities:</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 integrated into business processes, is routinely updated, and may have been audited by an internal or external oversight mechanism;</li> <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>

ITEM	AREA OF COMPETENCE	SPECIFIC CAPACITY REQUIRED	APPLICABILITY	INPUT DATA	EXAMPLES OF SUPPORTING DOCUMENTS
		<p><b>Category B/1-2</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> <li>Is consistent with good international industry practice;<sup>50</sup></li> <li>Is consistent with PS1-8.</li> </ul>	<p>Required for applicants seeking Category B/1-2 accreditation</p>	<p>For GEF-accredited entities under the fast-track accreditation process: 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 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>For all types of entities:</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 relevant part of the organization;</li> <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>



ITEM	AREA OF COMPETENCE	SPECIFIC CAPACITY REQUIRED	APPLICABILITY	INPUT DATA	EXAMPLES OF SUPPORTING DOCUMENTS
		<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>	<p>Required for applicants seeking Category C/I-3 accreditation</p>	<p>For GEF-accredited entities under the fast-track accreditation process: 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 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>For all types of entities:</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 projects from the past 3 years and their category, including an indication of who determines categorization.</li> </ul>

ITEM	AREA OF COMPETENCE	SPECIFIC CAPACITY REQUIRED	APPLICABILITY	INPUT DATA	EXAMPLES OF SUPPORTING DOCUMENTS
6.3	Management Programme	<p><b>Category A/1-1</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. Depending upon the nature and scale of the project/ programme, the management programme may consist of a documented combination of operational procedures, practices, plans and related supporting documents that are managed in a systematic way.</p>	Required for applicants seeking Category A/1-1 accreditation	For GEF-accredited entities under the fast-track accreditation process: 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>For all types of entities:</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 mitigation actions will be documented, tracked, and applied;</li> <li>Audit reports (conducted by external firm or organization) on institutional management programme effectiveness.</li> </ul>
		<p><b>Category B/1-2</b> A documented institutional process and track record for managing mitigation measures and actions stemming from the E&amp;S risk identification process. Depending upon the nature and scale of the project/programme, the management programme may consist of a documented combination of operational procedures, practices, plans and related supporting documents that are managed in a systematic way.</p>	Required for applicants seeking Category B/1-2 accreditation	For GEF-accredited entities under the fast-track accreditation process: 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>For all types of entities:</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> <li>Audit reports on institutional management programme effectiveness.</li> </ul>

ITEM	AREA OF COMPETENCE	SPECIFIC CAPACITY REQUIRED	APPLICABILITY	INPUT DATA	EXAMPLES OF SUPPORTING DOCUMENTS
		<p>Category C/I-3</p> <p>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 designate roles responsible for implementing the programme.</p>	<p>Required for applicants seeking Category C/I-3 accreditation</p>	<p>For GEF-accredited entities under the fast-track accreditation process: 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>For all types of entities:</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 organizational capacity to manage E&amp;S risk.</li> </ul>
6.4	Organizational Capacity and Competency	<p><b>Category A/I-1</b></p> <p>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 communicated, and supported with human and financial resources.</p>	<p>Required for applicants seeking Category A/I-1 accreditation</p>	<p>For GEF-accredited entities under the fast-track accreditation process: 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>For all types of entities:</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 compliance responsibilities;</li> <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>

ITEM	AREA OF COMPETENCE	SPECIFIC CAPACITY REQUIRED	APPLICABILITY	INPUT DATA	EXAMPLES OF SUPPORTING DOCUMENTS
		<p><b>Category B/1-2</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 defined and supported with human and financial resources. 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. Technical staff with knowledge of PS1-8, are able to properly categorize potential funding proposals.</p>	Required for applicants seeking Category B/1-2 accreditation	For GEF-accredited entities under the fast-track accreditation process: 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>For all types of entities:</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 compliance responsibilities;</li> <li>Job descriptions and responsibilities of key E&amp;S personnel, including expertise and experience in PS1-8.</li> </ul>
		<p><b>Category C/1-3</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>	Required for applicants seeking Category C/1-3 accreditation	For GEF-accredited entities under the fast-track accreditation process: 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>For all types of entities:</p> <ul style="list-style-type: none"> <li>Organizational chart of where designated staff members who make categorization decisions sit in the organization and reporting lines.</li> </ul>

ITEM	AREA OF COMPETENCE	SPECIFIC CAPACITY REQUIRED	APPLICABILITY	INPUT DATA	EXAMPLES OF SUPPORTING DOCUMENTS
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. 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>	Required for applicants seeking Category A/I-1 accreditation	For GEF-accredited entities under the fast-track accreditation process: 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>For all types of entities:</p> <ul style="list-style-type: none"> <li>• Description of monitoring and review programme, including processes and procedures;</li> <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 information, that are submitted to Senior Management; sample of project monitoring and evaluation reports prepared in the last 3 years;</li> <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>

ITEM	AREA OF COMPETENCE	SPECIFIC CAPACITY REQUIRED	APPLICABILITY	INPUT DATA	EXAMPLES OF SUPPORTING DOCUMENTS
		<p><b>Category B/1-2</b> Track record and internal processes to support a monitoring/supervision programme that tracks and ensures completion of mitigation and performance improvement measures. Periodic performance reviews reported to Senior Management, on the effectiveness of the ESMS. Senior 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>	<p>Required for applicants seeking Category B/1-2 accreditation</p>	<p>For GEF-accredited entities under the fast-track accreditation process: 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>For all types of entities:</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>
		<p><b>Category C/1-3</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>	<p>Required for applicants seeking Category C/1-3 accreditation</p>	<p>For GEF-accredited entities under the fast-track accreditation process: 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>For all types of entities:</p> <ul style="list-style-type: none"> <li>Description of project monitoring process.</li> </ul>

ITEM	AREA OF COMPETENCE	SPECIFIC CAPACITY REQUIRED	APPLICABILITY	INPUT DATA	EXAMPLES OF SUPPORTING DOCUMENTS
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> <li>● Provide, track, and document responses.</li> </ul>	Required for applicants seeking Category A/I-1 accreditation		<p>For all types of entities:</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 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 C/I-3 accreditation		<p>For all types of entities:</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 DOCUMENTS
7.1	Gender	Demonstrate competencies, policies and procedures to implement the Green Climate Fund's Gender Policy	All applicants		<p>For all types of entities:</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>For all types of entities:</p> <ul style="list-style-type: none"> <li>Examples of 2 lending operations that specifically target women among project/program beneficiaries;</li> <li>Evidence to show that projects to which the entity lends have non-discriminatory practices in terms of benefits and remuneration for both men and women employees.</li> </ul>



# 7. Appendix: Relevant GCF documents

This is adapted from following GCF documents. Audience are encouraged to refer to the detailed original documents for information clarification.

- i. Guiding Framework and Procedures for Accrediting National, Regional and International Implementing Entities and Intermediaries, Including the Fund's Fiduciary Principles and Standards and Environmental and Social Safeguards (GCF/B.07/02);
- ii. Guidelines for the Operationalization of the Fit-for-purpose Accreditation Approach (GCF/B.08/02);
- iii. Gender Policy and Action Plan (GCF/B.09/10);
- iv. Assessment of Institutions Accredited by Other Relevant Funds and Their Potential for Fast-track Accreditation (GCF/B.08/03);
- v. Application Documents for Submissions of Applications for Accreditation (GCF/B.08/06);
- vi. Policy on Fees for Accreditation (GCF/B.08/04);
- vii. Legal and Formal Arrangements with Accredited Entities (GCF/B.09/03);

# Related reading

Wang, B. and N. Rai (2015) The Green Climate Fund accreditation process: barrier or opportunity? IIED policy brief.  
<http://pubs.iied.org/17311IIED.html>



Knowledge  
Products

# Toolkit

November 2015

## Climate change

*Keywords:*

Green Climate Fund,  
Accreditation, NIE, Direct Access

The aim of this handbook is to provide a practical guide to assist prospective national implementing entities (NIEs) in Bangladesh to directly access the Green Climate Fund (GCF).

It is designed to provide an all-in-one guidance and analysis of the concept, process, and relevant standards, frequently asked questions and previous applicants' experience of GCF accreditation. These NIEs can be national line ministries or departments, the Central Bank, public financial institutions, private sector companies or civil society organisations.

IIED is a policy and action research organisation. We promote sustainable development to improve livelihoods and protect the environments on which these livelihoods are built. We specialise in linking local priorities to global challenges. IIED is based in London and works in Africa, Asia, Latin America, the Middle East and the Pacific, with some of the world's most vulnerable people. We work with them to strengthen their voice in the decision-making arenas that affect them – from village councils to international conventions.



International Institute for Environment and Development  
80-86 Gray's Inn Road, London WC1X 8NH, UK

Tel: +44 (0)20 3463 7399  
Fax: +44 (0)20 3514 9055  
email: [info@iied.org](mailto:info@iied.org)  
[www.iied.org](http://www.iied.org)



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