**GCF accreditation self-assessment tool**

For statistical reasons we would like to ask you to answer the following general questions, before you start with the questionnaire.

Please note that completion of this questionnaire does not constitute the application for accreditation. The Self-Assessment Tool is voluntary and will not have influence on the potential accreditation process of the GCF.

(All questions marked with \* are mandatory.)

Please provide your email address below, and we will send you an email after you finish this questionnaire: **\*This question is required.** This question requires a valid email address.



I would describe the institution I work for as: **\*This question is required.** Please select all that apply

* International
* Regional
* National
* Subnational
* Public Sector
* Private Sector
* NGO/ Civil Society
* Academia
* Other (please specify) Please enter an 'other' value for this selection. 

The institution I work for has operations in: **\*This question is required.** Please select all that apply

* Developing Country
* LDCs (Least developed Countries)
* SIDS (Small Island Developing States)
* Emerging Economies
* Developed Country
* Not applicable - I do not work for an institution

The institution I work for is headquartered in: **\*This question is required.**

* Africa
* Asia-Pacific
* Latin America and the Caribbean
* Eastern Europe
* Western Europe and other developed countries
* Not applicable - I do not work for an institution

What country is the institution you work for headquartered in? **\*This question is required.**



Does your institution intend to become accredited to the Green Climate Fund? **\*This question is required.**

* Yes
* No
* Don't know

Please insert the name of the institution you work for (if applicable): Optional



**Basic Information**

1. Does the institution have experience implementing projects related to climate change mitigation and/or adaptation? **\*This question is required.**

* Yes
* No
* More information required


The GCF has committed to supporting 50% climate change mitigation activities and 50% adaptation activities. The Fund also aims to allocate a minimum of 50% of the adaptation finance to vulnerable countries, including the least developed countries (LDCs), small island developing states (SIDS) and African states.

The GCF can only fund activities related to climate change, which includes activities that help reduced greenhouse gas emissions, or those that help society become more resilient to the changing climate.

If the institution does not intend to implement or support such activities, it will not be able to become accredited to the GCF.

**Basic Information**

2. Does the institution have experience implementing projects in developing countries? **\*This question is required.**

* Yes
* No
* More information required

The GCF aims to contribute to the achievement of the objectives of the United Nations Framework Convention on Climate Change (UNFCCC). This includes providing support to developing countries to enable them to limit their greenhouse gas emissions and adapt to the impacts of climate change. In particular, the GCF intends to take into account the needs of those developing countries particularly vulnerable to the adverse effects of climate change.

The GCF only supports activities in developing country Parties to the UNFCCC.

If the institution does not intend to work in one or more developing countries, it cannot be accredited to the GCF.

**Basic Information**

3. Is the institution a legal entity with the necessary registrations, permits and licenses to undertake planned activities? **\*This question is required.**

* Yes
* No
* More information required

To become accredited and receive funding from the GCF, an institution must have a legal right to do the activities that it plans to implement. Individual people cannot receive funding directly from the GCF.

To learn how to become a legal entity or receive appropriate rights you will need to prove that your entity and projects comply with national legislation in the country (or countries) where you intend to operate.

The below provides minimum examples of supporting documentation that different types of entities can use to illustrate their legal status.

**For government ministries, departments, divisions, etc.**

* Scanned copy or extract of the relevant Act, Decree, or other similar document.
* Document outlining powers of the Head of the entity and other key/ relevant authorities

**For incorporated/ registered entities, e.g.: private and public sector entities, civil society organizations, etc.**

* Certificate of Incorporation/ Registration.
* Memorandum and Articles of Association, if applicable (highlight relevant sections).Vision and/or mission statement.
* Business permit and license to operate

**For international and regional entities**

* Governing instrument.
* Agreement to establish the entity.

**Basic Information**

4. If the institution is a regional, national or subnational entity applying for direct access, has it been nominated by the National Designated Authority (NDA) (or will it receive such a nomination before submitting the online application form)? **\*This question is required.**

* Yes
* No
* No, my institution will apply under the international access modality
* More information required

Each country hosting activities funded by the GCF must nominate a National Designated Authority (NDA), which coordinates the country’s engagement with the GCF. Regional, national or sub-national institutions that want to be accredited to the GCF through direct access need to receive a nomination letter from the NDA in their country or a country in which they intend to operate before applying for accreditation.

[A list of the NDA for each country](https://www.greenclimate.fund/partners/countries/nda-directory), as well as the [template nomination letter](http://www.greenclimate.fund/documents/20182/319135/1.4_-_NDA_FP_Nomination_Letter_for_Application.docx/ffe4baa5-af3f-4fca-a68b-d8f7fe7948ba) can be found on the GCF website.

International institutions such as United Nations agencies, multilateral development banks, international financial institutions and regional institutions that want to be accredited to the GCF (via international access) do not need a nomination letter from an NDA on the accreditation process. Nevertheless they will need a no-objection by the NDA at the moment they present their project proposals.

**Basic Information**

5. Does the institution have in place the requisite key financial and administrative capacities? **\*This question is required.**

* Yes
* No
* More information required

To become accredited to the GCF, institutions must show that they meet certain fiduciary requirements. These requirements help the GCF understand whether the institution will manage funds effectively. There are basic requirements that all entities must meet, including key administrative and financial management capacities, and transparency and accountability provisions. In addition, specialized requirements exist for those who wish to do certain types of project management, grant programs, and on-lending and/or blending of funds. The requirements are spelled out in[GCF/B.07/11](http://www.greenclimate.fund/documents/20182/24943/GCF_B.07_11_-_Decisions_of_the_Board_-_Seventh_Meeting_of_the_Board__18-21_May_2014.pdf/73c63432-2cb1-4210-9bdd-454b52b2846b?version=1.1) (Annex II).

In order to meet the basic fiduciary standards, the institution needs to have:

1. Clearly defined **management and administrative capacities**;
2. A **financial management and accounting system** that follows international good practice (including the Generally Accepted Accounting Principles), and a track record of financial statements.
3. **Procedures in place for internal and external audits,** including: A fully functional audit committee (or comparable body); An internal audit function; and An independent external audit firm
4. **Internal financial controls** to ensure that financial risks are properly managed.
5. **Formal procurement standards, guidelines and systems** in place to ensure fair and transparent procurement processes.

The institution will need to provide the GCF with information related to each of the above five categories.
To get a clearer understanding of the criteria that the GCF uses to assess the applicant on these topics see Section IV from 4.1.1 to 4.1.5 in the [Stage I](http://www.greenclimate.fund/documents/20182/114264/1.5.7_-_Checklist_Stage_I__Secretariat_.pdf/3547b547-2e1e-425d-abc6-51fe606d7bdc) and [Stage II](http://www.greenclimate.fund/documents/20182/114264/1.5.8_-_Checklist_Stage_II__Accreditation_Panel_.pdf/d0e3a1c9-7f2c-419d-8705-3a776ad58c6a) checklists.

The institution has: **\*This question is required.**Please select all that apply

* Internal oversight bodies (e.g. internal audit body, audit committee, oversight authorities etc.) that follow transparent rules
* A clear organizational chart that defines key areas of authority and responsibility
* A process to set organizational objectives, including metrics for monitoring results
* An accounting system that follows recognized accounting standards
* An internal audit process that acts in accordance with internationally recognized standards
* An external audit firm or organization that reviews financial statements and makes regular recommendations to management
* A control framework with clearly defined roles for managers, internal auditors, internal oversight bodies and others
* A formal, transparent procurement policy and procedures

**Basic Information**

6. Does the institution have in place effective transparency and accountability policies, procedures, systems and approaches? **\*This question is required.**

* Yes
* No
* More information required

To become accredited to the GCF, all institutions must show that they meet certain basic fiduciary requirements including the following transparency and accountability provisions:

1. A **documented code of ethics or a set of clear management policies** that define ethical standards to be upheld by employees and others relevant persons.
2. Policy or documented process for the mandatory **disclosure of conflicts of interest**, and examples of its application.
3. A demonstrated **capacity to prevent fraud, financial mismanagement and other forms of malpractice.**
4. An **independent investigation function** for investigating allegations of fraud and corruption.
5. **Anti-money laundering and anti-terrorist financing policies,** including adequate “know your customer” due diligence procedures.

Institutions will need to provide documentation to the GCF related to each of the above five categories. The requirements are spelled out in [GCF/B.07/11](http://www.greenclimate.fund/documents/20182/24943/GCF_B.07_11_-_Decisions_of_the_Board_-_Seventh_Meeting_of_the_Board__18-21_May_2014.pdf/73c63432-2cb1-4210-9bdd-454b52b2846b?version=1.1) (Annex II).
To get a clearer understanding of the criteria that the GCF uses to assess the applicant on these topics see Section IV from 4.2.1 to 4.2.5 in the GCF’s [Stage I](http://www.greenclimate.fund/documents/20182/114264/1.5.7_-_Checklist_Stage_I__Secretariat_.pdf/3547b547-2e1e-425d-abc6-51fe606d7bdc) and [Stage II](http://www.greenclimate.fund/documents/20182/114264/1.5.8_-_Checklist_Stage_II__Accreditation_Panel_.pdf/d0e3a1c9-7f2c-419d-8705-3a776ad58c6a) checklists.

The institution has: **\*This question is required.** Please select all that apply

* A documented code of ethics
* A policy on the disclosure of conflicts of interest
* A policy of zero tolerance for fraud, financial mismanagement and other forms of malpractice and systems for enforcing that policy
* An investigation function focused on ensuring adherence to the code of ethics, rules for financial management etc.
* A policy against money laundering and the financing of terrorism

**Basic Information**

7. What size projects or activities has the entity undertaken in the past? **\*This question is required.**At least 3 projects

* Micro (USD <10 million)
* Small (USD 10-50 million)
* Medium (USD 50-250 million)
* Large (USD >250 million)

**Specialized Fiduciary Criteria**

The entity may choose how it will operate using the Fund’s resources:

* **Project Management**. This category refers to institutions that intend to manage and implement projects either directly or indirectly through other partners using money received from the GCF.
* **Grant award and/or funding allocation mechanism**. This category refers to institutions that intend to provide grants to other institutions using money received from the GCF.
* **On-lending**. On-lending in this context refers to using money from the GCF to provide loans to other actors. This could also include providing equity or guarantees to other institutions. Institutions seeking accreditation do not need to meet this requirement if they intend to receive loans from the GCF but not onlend that money to others.
* **Blending**. Blending in this case refers to combining finance from the GCF with money received from other international financial or multilateral institutions.

Entities will then be accredited with certain fiduciary functions - which entail different requirements. For further details on the Fiduciary functions please review the Fund’s [fiduciary principles and standards](http://www.greenclimate.fund/documents/20182/319135/1.6_-_Fiduciary_Standards.pdf/083cfe10-46f4-4a73-b603-8d7bfd2a35bd).

8. What does the institution wish to do with GCF funding? **\*This question is required.**Please select all that apply

* Implement and/or oversee projects
* Provide on-granting to third parties
* Provide loans to third parties
* Blend the GCF's financing with other resources

**Specialized Fiduciary Criteria**

9. Does the institution have experience with project management? **\*This question is required.**

* Yes
* No
* More information required

All institutions need to show that they have project management capacity. Note that projects can take different forms based on the type of institution in question. Specifically institutions need to show that they are capable of:

1. **Identifying, preparing and appraising projects.**
2. **Overseeing and controlling implementation of an approved project or activity,** including monitoring performance, assessing project expenditure against project budget, and reporting on progress made.
3. **Monitoring and evaluating** implementation.
4. **Demonstrating a project-at-risk system and related project risk management capabilities.**

To get a clearer understanding of the criteria that the GCF uses to assess the applicant on these topics see Section V from 5.1.1 to 5.1.4 in the GCF’s [Stage I](http://www.greenclimate.fund/documents/20182/114264/1.5.7_-_Checklist_Stage_I__Secretariat_.pdf/3547b547-2e1e-425d-abc6-51fe606d7bdc) and [Stage II](http://www.greenclimate.fund/documents/20182/114264/1.5.8_-_Checklist_Stage_II__Accreditation_Panel_.pdf/d0e3a1c9-7f2c-419d-8705-3a776ad58c6a) checklists.

Institutions will need to provide documentation to the GCF related to each of the following four categories:

* Project Identification, Preparation and Appraisal
* Project Oversight and Control
* Monitoring and Evaluation
* Project-at-risk systems and related project risk management capabilities

The institution has: **\*This question is required.** Please select all that apply

* A process for identifying, preparing and appraising projects (including quality procedures reviews, and track record of project development, project documentation appraisal reports, and monitoring and evaluation reports)
* Guidelines for developing project objectives, and performance indicators and implementation plans
* A process for incorporating technical, financial, economic, legal, environmental, social and climate change aspect in project preparation
* A clear, documented system for monitoring and evaluation of projects, including project budgets and expenditures
* An independent evaluation function to assess project results
* A process for flagging projects at risk during implementation, and for ensuring implementation of risk mitigation measures

**Specialized Fiduciary Criteria**

10. Does the institution have experience with grant award and/or funding allocation mechanisms? **\*This question is required.**

* Yes
* No
* More information required

If institutions wish to award grants to other actors they must show that they are capable of doing so effectively. To meet this standard, institutions need to have a transparent and formally documented process for awarding grants to recipients, which includes the following:

1. Clearly defined eligibility criteria and procedures for evaluating and awarding grants.
2. Public access to information on beneficiaries and results.
3. Transparent allocation of financial resources.
4. Good standing for financial requirements with regard to multilateral funding (e.g. through recognized public expenditure reviews).

Institutions will need to provide documentation to the GCF indicating how they meet each of the above four criteria **if they want** to become accredited to implement grant programs.

To get a clearer understanding of the criteria that the GCF uses to assess the applicant’s ability to oversee grant aware or funding allocation mechanisms see Section V from 5.2.1 to 5.2.4 in the GCF’s [Stage I](http://www.greenclimate.fund/documents/20182/114264/1.5.7_-_Checklist_Stage_I__Secretariat_.pdf/3547b547-2e1e-425d-abc6-51fe606d7bdc) and [Stage II](http://www.greenclimate.fund/documents/20182/114264/1.5.8_-_Checklist_Stage_II__Accreditation_Panel_.pdf/d0e3a1c9-7f2c-419d-8705-3a776ad58c6a) checklists.

The institutions has transparent systems for: **\*This question is required.** Please select all that apply

* Publication of grant notices, and evaluation and approval of grant applications, including a duly authorized grant evaluation committee
* Conducting due diligence on grant applications to assess the eligibility and capabilities of the applicant
* Ensuring clear communication about decisions in regards to grant awards
* Monitoring implementation of grants, which includes site visits and effective communication with grant beneficiaries during visits
* Preventing fraud, audit/check grantee expenditures, and recovering funds if grantees do not fulfill their obligations
* Independent evaluation reports by multilateral agencies

**Specialized Fiduciary Criteria**

11. Does the institution have experience with on-lending and/or blending of finance? **\*This question is required.**

* Yes
* No
* More information required

Institutions will need to provide documentation to the GCF related to each of the following four categories **if they wish** to become accredited to conduct on-lending or blending:

* Prove appropriate registration and/or licensing by a financial oversight body or regulator in the country and/or internationally, as applicable.
* Expose track record, institutional experience and existing arrangements and capacities for on-lending and blending with resources from other international or multilateral sources.
* Show adequate creditworthiness.
* Conduct due diligence policies, processes and procedures.
* Ensure financial resource management, including analysis of the lending portfolio of the intermediary.
* Ensure public access to information on beneficiaries and results.
* Demonstrate investment management, policies and systems, including in relation to portfolio management.
* Prove capacity to channel funds transparently and effectively, and to transfer the Green Climate Fund’s funding advantages to final beneficiaries.
* Manage financial risk management, including asset liability management. Illustrate governance and organizational arrangements, including relationships between the treasury function and the operational side (front desk).

To get a clearer understanding of the criteria that the GCF uses to assess the applicant’s ability to oversee on-lending and/or blending of finance see Section V from 5.3.1 to 5.3.10 in the GCF’s [Stage I](http://www.greenclimate.fund/documents/20182/114264/1.5.7_-_Checklist_Stage_I__Secretariat_.pdf/3547b547-2e1e-425d-abc6-51fe606d7bdc) and [Stage II](http://www.greenclimate.fund/documents/20182/114264/1.5.8_-_Checklist_Stage_II__Accreditation_Panel_.pdf/d0e3a1c9-7f2c-419d-8705-3a776ad58c6a) checklists.

The institution has: **\*This question is required.** Please select all that apply

* A track record of on-lending
* A track record of blending finance
* A satisfactory credit rating from an international credit rating company
* Documented policies for lending and/or blending and a system for conducting due diligence of recipients of loans and/or blended finance
* Guidelines/procedures for managing the institution's investment portfolio
* A system for evaluating an intermediary's lending portfolio
* A monitoring system to ensure that those receiving loans or blended finance from the institution channel the funds transparently and effectively to the advantage of final beneficiaries
* Processes to ensure that any actor receiving grants from the institution with the intention of blending these grants follows appropriate standards
* A policy/guidelines on public access to information about the institution's on-lending and/or blending

**Environment & Social Safeguards**

12. Does the institution have adequate environmental and social safeguards in place? **\*This question is required.**

* Yes
* No
* More information required

Institutions must be able to show that they have safeguards in place that enable them to demonstrate that they can identify, categorize, evaluate, mitigate, manage, and monitor environmental and social risks created by their projects or other types of activities. If the institution wants to only implement or support low risk activities, its environmental and social management system does not have to be sophisticated. If, on the other hand, the institution wants to implement medium or high-risk projects it must be able to show a higher level of ability to avoid, reduce or mitigate those risks.

**What are safeguards?**
Environmental and social safeguards aim to avoid, reduce and/or compensate for negative effects of activities. While there is no universal definition of safeguards, generally one can say that they consist of:

* **Rules** (such as policies, laws, regulations) that reduce the environmental and social risk and negative impact of activities.
* **Institutions** that implement those rules.

**Why have safeguards?**
Environmental and social safeguards help ensure that planned activities are successful. They can reduce conflict, optimize benefits, and help ensure that activities do not result in unintentionally harm to people or ecosystems. See below for an overview of some of the benefits to communities and project developers.

**Value of Safeguards**

|  |  |
| --- | --- |
| **Value to Communities** * Involve local people as project beneficiaries
* Protect rights to natural resources and other rights
* Prevent environmental degradation
 | **Value to Project Developers** * Prevent conflict with communities
* Avoid project delays and increased costs
* Avoid reputational damage
 |

**What are the GCF safeguards?**
The GCF’s requirements related to environmental and social risk are outlined in the International Finance Corporation’s (IFC’s) [Environmental and Social Performance Standards on Environmental and Social Sustainability](http://www.ifc.org/wps/wcm/connect/c8f524004a73daeca09afdf998895a12/IFC_Performance_Standards.pdf?MOD=AJPERES).

[Performance Standard 1](http://www.ifc.org/wps/wcm/connect/3be1a68049a78dc8b7e4f7a8c6a8312a/PS1_English_2012.pdf?MOD=AJPERES) is an overarching standard that explains what elements institutions need to have in place to show that they have a functioning Environmental and Social Management System (ESMS).

The list below provides information that institutions need to provide in order to demonstrate that they meet this environmental and social safeguards.

* Environmental and Social Policy
* Identification of Risks and Impacts
* Management Programme
* Organizational Capacity and Competency
* Monitoring and Review
* External Communications

To get a clearer understanding on the GCF requirements see the table below and sections 6.1 to 6.6 in the GCF’s [Stage I](http://www.greenclimate.fund/documents/20182/114264/1.5.7_-_Checklist_Stage_I__Secretariat_.pdf/3547b547-2e1e-425d-abc6-51fe606d7bdc) and [Stage II](http://www.greenclimate.fund/documents/20182/114264/1.5.8_-_Checklist_Stage_II__Accreditation_Panel_.pdf/d0e3a1c9-7f2c-419d-8705-3a776ad58c6a) checklists.

The remaining Performance Standards cover requirements related to specific substantive areas, which institutions need to able to implement (if relevant). Click on the links below to find out more about each standard:

* [PS2: Labor and Working Conditions](http://www.ifc.org/wps/wcm/connect/2408320049a78e5db7f4f7a8c6a8312a/PS2_English_2012.pdf?MOD=AJPERES)
* [PS3: Resource Efficiency and Pollution Prevention](http://www.ifc.org/wps/wcm/connect/25356f8049a78eeeb804faa8c6a8312a/PS3_English_2012.pdf?MOD=AJPERES)
* [PS4: Community Health, Safety, and Security](http://www.ifc.org/wps/wcm/connect/a40bc60049a78f49b80efaa8c6a8312a/PS4_English_2012.pdf?MOD=AJPERES)
* [PS5: Land Acquisition and Involuntary Resettlement](http://www.ifc.org/wps/wcm/connect/3d82c70049a79073b82cfaa8c6a8312a/PS5_English_2012.pdf?MOD=AJPERES)
* [PS6: Biodiversity Conservation and Sustainable Management of Living Natural Resources](http://www.ifc.org/wps/wcm/connect/bff0a28049a790d6b835faa8c6a8312a/PS6_English_2012.pdf?MOD=AJPERES)
* [PS7: Indigenous Peoples](http://www.ifc.org/wps/wcm/connect/1ee7038049a79139b845faa8c6a8312a/PS7_English_2012.pdf?MOD=AJPERES)
* [PS8: Cultural Heritage](http://www.ifc.org/wps/wcm/connect/dd8d3d0049a791a6b855faa8c6a8312a/PS8_English_2012.pdf?MOD=AJPERES)

**What is an Environmental and Social Management System (ESMS)?**
An ESMS consists of the processes that institutions have in place to make sure that they adequately identify, assess, manage, mitigate and monitor environmental and social risks and respond to problems that arise. All institutions seeking accreditation to the GCF must have an ESMS. The strength of the ESMS can vary though depending on the accreditation category.
To determine whether an institution’s ESMS is adequate the GCF looks at elements laid out in IFC’s PS 1.

**What are the different levels of accreditation?**
The GCF decided to take a “fit for purpose” approach to accreditation. “Fit for purpose” in this context means that the GCF has different accreditation requirements depending on the size and type of projects/programmes that the institution intends to implement. The GCF decided to take a fit for purpose approach to accreditation in order to allow a broader set of institutions to become accredited, while simultaneously ensuring that only capable institutions with an appropriate track record receive funding for higher risk projects.

In terms of environmental and social safeguards, there are three different accreditation categories. Institution can be accredited to implement:
**Only Category C/I-3 projects,**
or
**Category B/I-2 and C/I-3 projects**
or
**Category A/I-1, B/I-2, and C/I-3 projects.**

The table below gives an overview of the requirements that institutions must meet to be accredited for each category.

|  |  |  |
| --- | --- | --- |
| **Risk level** | **Funding Proposals** | **Intermediation** |
| **High** | Category AActivities with potential significant adverse environmental and/r social risks and/or impacts that are diverse, irreversible, or unprecedented | Intermediation 1 (I1)When an intermediary’s existing or proposed portfolio includes, or is expected to include, substantial financial exposure to activities with potential significant adverse environmental and/or social risks and/or impacts that are diverse, irreversible, or unprecedented |
| **Medium** | Category BActivities with potential mild adverse environmental and/or social risks and/or impacts that are few in number, generally site-specific, largely reversible, and readily addressed through mitigation measures | Intermediation 2 (I2)When an intermediary’s existing or proposed portfolio includes, or is expected to include, substantial financial exposure to activities with potential limited adverse environmental or social risks and/or impacts that are few in number, generally-site specific, largely reversible, and readily addressed through mitigation measures; or includes a very limited number of activities with potential significant adverse environmental and/or social risks and/or impacts that are diverse, irreversible, or unprecedented. |
| **Low/No** | Category CActivities with minimal or no adverse environmental and/or social risks and/or impacts | Intermediation 3 (I3)When an intermediary’s existing or proposed portfolio includes financial exposure to activities that predominantly have minimal or negligible adverse environmental and/or social impacts. |

Note that in addition to the risk categories, there are accreditation categories based on the size of the projects to be funded (micro, small, medium or large) and the type of finance that the institution aims to receive and provide. These are separate from risk categories and are covered in the fiduciary standards.

The table below gives an overview of the main ESMS requirements for different levels of accreditation.

|  |  |  |
| --- | --- | --- |
| **Element of ESMS** | **Low Risk – Category C/I-3** | **Medium or High Risk\*** |
| **Policy** | Not Required | Must be consistent with PS 1-8 |
| **Identification of Risks & Impacts** | Process to screen & categorize risk | Process & implementation track record consistent with PS 1-8 |
| **Management Programme** | Process to identify & manage risks (including unanticipated risks) | Process & track record for mitigating identified risk |
| **Organizational Capacity & Competency** | Staff members able to categorize activities by risks | Clear roles & authority for implementation; includes Senior Management |
| **Monitoring & Review** | Monitoring for unforeseen impacts or risks | Process for & track record of monitoring mitigation actions; includes Senior Management |
| **External Communications** | System to register, assess, respond to, and track stakeholder communication | System to register, assess, respond to, and track stakeholder communication |

\*High risk accreditation requires full development and integration of each element. Institutions seeking accreditation for medium risk projects can have elements that are slightly less developed or integrated into the institution.

The institution has a written commitment to: **\*This question is required.** Please select all that apply

* Protect the rights of workers, including those working on projects overseen/supported by the institution
* Limit pollution and ensure efficient use of natural resources
* Protect the health and safety of affected communities
* Manage physical and economic resettlement of people
* Protect ecosystems, biodiversity and natural habitats
* Respect the rights of indigenous peoples
* Protect cultural heritage

The institution has: **\*This question is required.** Please select all that apply

* A process for screening and categorizing projects for environmental and social risks and potential negative impacts
* A process for conducting or overseeing environmental and social impact assessments
* A process for overseeing management of environmental and social mitigation measures identified in the E&S assessments
* An organizational chart that identifies units, departments and personnel responsible for implementing the environmental management plan system including their competency and track record
* A system for monitoring implementation of environmental and social management plans
* A mechanism for disclosing and communicating environmental and social assessments including receiving and responding to complaints from people affected by the institution's activities

**Environment & Social Safeguards**

13. If the institution plans to implement activities with high or medium levels of environmental and social risk, can it show that it has the appropriate organizational structure and that it has successfully implemented similar projects in the past? **\*This question is required.**

* Yes
* No
* More information required

The GCF will only accredit institutions to implement activities with high or medium levels of risk if the institution can demonstrate that it has an organizational structure that defines roles, responsibilities and authority to implement the E&S policy and ESMS, and a track record of managing projects with the same level of environmental or social risk in the past.

The table below provides the definitions for each of the GCF’s three environmental and social risk categories.

|  |  |  |
| --- | --- | --- |
| **Risk level** | **Funding Proposals** | **Intermediation** |
| **High** | Category AActivities with potential significant adverse environmental and/r social risks and/or impacts that are diverse, irreversible, or unprecedented | Intermediation 1 (I1)When an intermediary’s existing or proposed portfolio includes, or is expected to include, substantial financial exposure to activities with potential significant adverse environmental and/or social risks and/or impacts that are diverse, irreversible, or unprecedented |
| **Medium** | Category BActivities with potential mild adverse environmental and/or social risks and/or impacts that are few in number, generally site-specific, largely reversible, and readily addressed through mitigation measures | Intermediation 2 (I2)When an intermediary’s existing or proposed portfolio includes, or is expected to include, substantial financial exposure to activities with potential limited adverse environmental or social risks and/or impacts that are few in number, generally-site specific, largely reversible, and readily addressed through mitigation measures; or includes a very limited number of activities with potential significant adverse environmental and/or social risks and/or impacts that are diverse, irreversible, or unprecedented. |
| **Low/No** | Category CActivities with minimal or no adverse environmental and/or social risks and/or impacts | Intermediation 3 (I3)When an intermediary’s existing or proposed portfolio includes financial exposure to activities that predominantly have minimal or negligible adverse environmental and/or social impacts. |

The table below provides examples of the types of activities that typically fall within each category.

|  |  |
| --- | --- |
| **Category** | **Examples** |
| **C (or I3)** | Examples of Category C include technical assistance projects on institutional development, computerization, and trainings, among others. List below provides an indicative list of Category C type projects. Projects however must be judged and categorized based on its own merits and in consideration of the local context and factors. * Advisory services
* Education, training, institutional development, capacity building
* Planning support to integrate climate change into land use plans and development plans
* Public broadcasting (TV, radio, satellite), awareness raising programs
* Small-scale reforestation
* Monitoring programs
* Plans and studies
* Establishment of household- and rural facility-level rainwater harvesting
* Retrofit of RE systems of households

Rehabilitation of existing public facilities where disposal of waste will not be an issue |
| **B (or I2)** | A proposed project is classified as Category B if the potential impacts on the environment are typically site-specific, reversible in nature; less adverse than those of Category A projects and for which mitigation measures can be designed more readily. Projects in Category B often differ only in scale from Category A projects of the same type. Projects that finance rehabilitating or maintaining an existing infrastructure (e.g., roads, power, transmission and irrigation networks) may have adverse impacts, but are likely to be less significant compared to a Category A project, and would be typically categorized as B.Below is an indicative list of projects typically classified as Category B. * Small-scale infrastructure projects: power transmission and distribution networks, rural electrification (mini grids), mini (run-of-the-river with no major water impoundments) or micro-hydropower projects, small-scale clean fuel fired thermal power plants, renewable energy (other than hydropower)
* Ecosystem-based adaptation
* Energy efficiency and energy conservation
* Rural water supply and sanitation
* Road and small bridges rehabilitation, maintenance and upgrading; telecommunications, etc.;
* Health care and educational service and educational delivery, repair/rehabilitation of buildings when hazardous materials might be encountered (e.g., asbestos, stored pesticides);
* Small-scale irrigation, drainage, agricultural and rural development projects, rural water supply and sanitation, watershed management and rehabilitation, and small-scale agro-industries, tourism (small-scale developments)
* Reduce flooding, protection
* Adaptation of crop farming systems to climate change including soil and water conservation techniques
* Forest management activities and agroforestry
* Small and medium-scale low emission power generation
* Small-scale agriculture and tourism initiatives
 |
| **A (or I1)**  | Category A includes projects that have the following attributes: large-scale conversion or degradation of natural habitats; extraction, consumption, or conversion of substantial amounts of forest; mineral and other natural resources; direct discharge of pollutants resulting in degradation of air, water or soil; production, storage, use or disposal of hazardous materials and wastes; measurable changes in hydrologic cycle; risks associated with the proposed use of pesticides, etc.Below provides an indicative list of types of projects typically classified as Category A. Decisions on categorization however must be made on a case by case basis reflecting the specific local context of the projects. * Large-scale forestry projects including reforestation and afforestation
* Large-scale agricultural projects including plantations, irrigation, aquaculture, and agro-industries
* Large-scale infrastructure such as transport (rail, road and waterways), large- scale water resources management (river basin development, water transfer) Major urban projects involving housing development, water treatment, wastewater treatment plants, solid waste collection and disposal
* Projects that, regardless of scale or type, would have severe adverse impacts on critical or otherwise valuable natural or cultural resources
* Projects with large resettlement components
* Projects with severe adverse impacts on indigenous peoples
* Projects with serious occupational or health risks
* Projects which pose serious socioeconomic concerns
 |

The institution: **\*This question is required.**

* Has successfully implemented or supported several projects in the applicable E&S risk categories with significant environmental or social risk, without these projects resulting in serious harm to people or the environment
* Has implemented or supported several projects with a moderate level of environmental or social risk, without these projects resulting in serious harm to people or the environment
* Has only implemented or supported projects with low or no environmental or social risk and activities have not resulted in serious harm
* Does not assess the environmental or social impacts of the projects it implements/supports. Therefore, it does not have access to this information

**Gender**

14. Does the institution have policies, procedures and competencies that are aligned to Green Climate's Fund's Gender Policy? **\*This question is required.**

* Yes
* No
* More information required

The GCF wants to see that the institutions prioritize gender sensitivity in their institution and activities. They therefore ask that institutions have policies in place related to gender equality. This requirement is relevant for all institutions, including those implementing low-risk activities.

The institution should demonstrate that its own policies incorporate the following objectives outline in the GCF’s own policy commitment which ask institutions to:

1. Understand the sociocultural factors underlying climate change-exacerbated gender inequality, and the potential contribution of women and men to societal changes in order to build resilience to, and the ability to address, climate change;
2. Adopt strategies, methods and tools to promote gender equality and reduce gender disparities in its climate funding; and
3. Measure the outcomes and impacts of its activities on women and men’s resilience to climate change.

To get a clearer understanding on the GCF requirements see Section VII from 7.1 to 7.2 in the GCF’s [Stage I](http://www.greenclimate.fund/documents/20182/114264/1.5.7_-_Checklist_Stage_I__Secretariat_.pdf/3547b547-2e1e-425d-abc6-51fe606d7bdc) and [Stage II](http://www.greenclimate.fund/documents/20182/114264/1.5.8_-_Checklist_Stage_II__Accreditation_Panel_.pdf/d0e3a1c9-7f2c-419d-8705-3a776ad58c6a) checklists.

The institution will have to demonstrate that it is gender sensitive at both the institutional and project/program level. Gender sensitive institutions might, for example, have an equal employment opportunity policy in place to ensure that the institution does not discriminate between genders in its employment practices. In addition, the institution will need a policy on gender sensitivity in projects requiring, for example, the use of gender sensitive indicators and sex–disaggregated monitoring at the project level.

The institution has: **\*This question is required.** Please select all that apply

* A policy or other documented commitment to gender equity at the institutional and projects levels
* A documented commitment to assessing the gender-related impacts of projects to be implemented or supported
* A documented commitment to engage in gender-equitable stakeholder consultations

**Gender**

15. Can the institution demonstrate experience with gender and climate change, including a track record of working with both men and women? **\*This question is required.**

* Yes
* No
* More information required

Beyond policies the institution needs to prove evidence on non-discriminatory practices targeting both women and men in mitigation and/or adaptation projects/programmes or examples to show how gender considerations are being addressed through social safeguards. In addition, the institution will need to provide a description of at least two projects that show how the institution ensures that both women and men benefit from the institution’s climate change-related projects.

To get a clearer understanding on the GCF requirements see Section VII from 7.1 to 7.2 in the GCF’s [Stage I](http://www.greenclimate.fund/documents/20182/114264/1.5.7_-_Checklist_Stage_I__Secretariat_.pdf/3547b547-2e1e-425d-abc6-51fe606d7bdc) and [Stage II](http://www.greenclimate.fund/documents/20182/114264/1.5.8_-_Checklist_Stage_II__Accreditation_Panel_.pdf/d0e3a1c9-7f2c-419d-8705-3a776ad58c6a) checklists.

The institution has: **\*This question is required.**Please select all that apply

* Regularly implemented practices to avoid discrimination of against men and women
* Collected data on the impacts of its activities disaggregated by gender

**Thank you**

**Congratulations**, you have completed the GCF self-assessment tool questionnaire.

The more an institution is able to **answer Yes to the relevant screening questions**, the better it is equipped for the accreditation for the Green Climate Fund.

If it has not done so already, we suggest to start by the [Introduction to Accreditation Framework](http://www.greenclimate.fund/documents/20182/319135/1.3_-_Introduction_to_Accreditation_Framework.pdf/4d44997c-6ae9-4b0e-be5d-32da82e62725).

Once an institution has submitted a complete application for accreditation in which it has spelled out in detail how it meets the requirements, the application will be reviewed by the Secretariat and the Accreditation Panel, who will be in touch with the applicant if further information is needed.

If institutions meet many but not all of the accreditation criteria, the Accreditation Panel and Board of the GCF can choose to accredit institutions with “conditions” which must be met by the institution prior to the first disbursement of funding from the GCF to the institution. Institutions will also need to submit successful project proposals before being approved for funding.

Institutions that are not yet able to meet all the criteria for accreditation may be able to access support from the GCF or other entities in order to strengthen their systems. For more information on the GCF readiness, please visit <http://www.greenclimate.fund/how-we-work/empowering-countries>.