



# **Climate Resilient Green Economy (CRGE)**

## **Project/program Concept Note and Proposal Preparation Guideline and Templates**

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*Ministry of Finance and Economic  
Development(MOFED) and Ministry of  
Environment and Forest (MEF)*

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## ACRONYMS

COP	Conference of the Parties
CRGE	Climate Resilient Green Economy
EE	Executing Entity
FTP	Fast Track Project/program Proposals
GTP	Growth and Transformation Plan
IE	Implementing Entity
MEF	Ministry of Environment and Forest
MoFED	Ministry of Finance and Economic Development
MRV	Measurement, Reporting and Verification
M&E	Monitoring and Evaluation
NGOs	Non-Governmental Organizations
NPC	National Planning Commission

## **1. BACKGROUND**

The Government of the Federal Democratic Republic of Ethiopia is taking its Climate-Resilient Green Economy (CRGE) initiative to address the adverse effects of climate change by building a greener economy. The CRGE strategy was launched during the 17<sup>th</sup> Conference of the Parties to the United Nations Framework Convention on Climate Change (COP 17) in Durban, South Africa in December 2017. Through this, Ethiopia has committed itself to build a climate resilient green economy and achieve middle-income status by 2025, with a zero net greenhouse gas emission while ensuring climate resilience.

To make this ambition a reality, the Government of the Federal Democratic Republic of Ethiopia has committed itself to fully mainstream/integrate the Climate Resilient Green Economy (CRGE) into the second Growth and Transformation Plan (GTP-II) beginning 2015. This will ensure that all the regions of Ethiopia and the sectors of its economy work towards the effective implementation of sustainable, strategic and resilient mitigation initiatives constituting main components of the GTP, thus ensuring a lasting, inclusive and sustainable economic development which will continue to be resilient to the increasing climate change.

The Ministry of Environment and Forest (MEF) in collaboration with relevant stakeholders has prepared a guideline which will enable sectors to integrate/mainstream CRGE into GTP-II and beyond. The National Planning Commission (NPC) has officially communicated this guideline to the key economic sectors to strictly follow the guideline during preparation of sectoral GTP-II plans.

The Ministry of Finance and Economic Development (MOFED) has established the CRGE Facility in order to mobilize climate finance from various sources including multilateral and bilateral sources and leverage public investment on climate change mitigation and adaptation actions. The CRGE Facility has become operational in late 2012. MOFED has prepared an operational manual for the CRGE Facility, which provides in-depth elaboration of the Facility's institutional arrangement, financial management, internal and external control frameworks, Project/program/program management including appraisal process, etc.

## **2. PURPOSE OF THE GUIDELINES**

These guidelines are issued by the Ministry of Finance and Economic Development (MOFED) and the Ministry of Environment and Forest (MEF) to provide guidance to the key CRGE Sectoral ministries at the federal level (Implementing Entities) and Federal and Regional Executing Entities on how to develop successful concept notes and proposals and access funds available in the CRGE Facility.

The CRGE Facility Secretariat (consisting of both the Technical Team in MEF and the Finance Team in MOFED) in collaboration with the NPC and other stakeholders is the responsible body to review and appraise investment proposals present to the CRGE Facility Management Committee for funding decisions.

## **3. ELIGIBILITY**

All line ministries, regional bureaus (i.e. IEs) and universities, NGOs, research institutes and community based organizations (EEs) are eligible to apply. Executing Entities (EEs) at Federal and

Regional level are required to apply through the respective relevant federal ministries (IEs). The following table summarizes the eligibility requirement for funding from the CRGE Facility.

Criterion	Details
1	An Implementing Entity that has established its own CRGE Focal Point, in accordance with the requirements set pursuant to this mechanism as well as MEF will be eligible to access resources from the Facility.
2	Each Implementing Entity shall designate a focal person that endorses reduction proposals on its behalf. To be eligible, a proposal must be endorsed by the focal person designated by the requesting implementing entity.
3	The Focal Institution's highest body who endorses a proposal must declare that the Implementing Entity will bear the full responsibility for the overall management of the approved reduction investment proposal financed by the Facility, and will thus bear all financial, monitoring, and reporting responsibilities.
4	Proposals must demonstrate alignment with Sector GTP and CRGE priorities, and be developed in accordance with the SRM process and guidance.
5	The proposal must include a coherent monitoring and evaluation plan that meets the criteria of the CRGE M&E framework.
6	The proposal must set out clearly how social and environmental safeguards will be incorporated in the design, implementation and monitoring process in line with the CRGE Environmental and Social Safeguards Framework, which is consistent with the World Bank standards in most cases.
7	The proposals must include clearly specified indicators on the amount of GHG emission reduction targets, impacts on poverty reduction, food security, employment generation, etc.

#### **4. APPLICATION PHASE AND TIMELINE**

The CRGE Facility will accept one cycle of proposal submission and approval each year. As appropriate the operating cycle may be adjusted to suit the requirement of the GTP sector plans but will always be based on a minimum of one cycle each year. The main proposal submission and approval cycle will be informed by the country's annual budget and availability of funds in the CRGE Facility accounts. This implies that proposals should be submitted well in advance so that funding decisions could be finalised and announced in July. Assuming availability of sufficient funds, a second cycle could then be operated with proposals to be submitted in November and decisions to be finalised and announced the following January (these decisions would therefore potentially help inform the next budgeting process). The CRGE Facility Secretariat could support sectors to develop proposals as required.

## 5. KEY STANDARDS FOR APPLICATION

Proposals are required to meet the following standard to be eligible for CRGE Facility funding. The following should be considered in preparing concept notes and proposals.

1. As much as possible, activities should be identified and selected from the options set out in the GTP or the sectoral Climate Resilient Strategies and the CRGE Facility Result Matrix<sup>1</sup>.
2. **Activities** should be able to be implemented using the lessons learned from Project/programs and programmes which have been or which are being implemented.
3. As much as possible, when developing the concept note, sectors need to ensure that the activities can be sustained in the long term and scaled up in line with the CRGE Strategy ambitions.
4. Concept notes and proposals need to clearly indicate how they will contribute to poverty reduction.
5. Concept notes and proposals need to indicate the expected benefits to gender equality.
6. Concept notes and proposals need to demonstrate how activities will contribute to the promotion of accountability.
7. Concept notes and proposals need to be clearly designed to deliver mitigation and adaptation results which contribute to the fulfilment of GTP II.
8. All proposed activities need to clearly indicate that the negative environmental and social impacts are localized and solvable, or preferably, there will be no negative impacts at all. Proposals should avoid activities that might give rise to unacceptable or unmanageable environmental or social impacts (Refer to the FDRE Proclamation 299/2002 and Regulation No. 1/2007 for the national environmental and safeguards requirements).

## 6. APPLICATION PROCEDURE

The Implementing Entities will submit concept notes and Project/program proposals to the CRGE Facility. The Facility Secretariat in collaboration with the NPC and stakeholders then assesses and prioritizes proposals against both technical criteria related to the environment and climate change (that include resilience, emission reduction and green growth) and wider development criteria (in particular alignment with the GTP, poverty reduction and social inclusion issues including gender equality), as well as the degree to which they provide safeguards against undesirable social and environmental impact. For all proposals that pass this scrutiny, it is the responsibility of the Secretariat to review the quality and completeness of the submission, and to seek from the relevant proposers any clarifications or missing detailed information, in order to finalize the Project/program proposal to the standard required by the Technical Team, Advisory Board and Management Committee.

During the drafting phase of the proposals the CRGE Facility Secretariat will be available to provide support. Once completed, the FIEs will submit proposals to the CRGE Secretariat. The Ministries will physically submit it to the CRGE Facility, giving official approval by the top official of the Ministry.

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<sup>1</sup> See annex 12(1) of the CRGE Facility Operations Manual (*1<sup>st</sup> Revised Version*)

## 7. APPLICATION TEMPLATES

### 7.1 Project/program CONCEPT NOTE SUBMISSOIN TEMPLATE: TEMPLATE A

SECTION 1: INFORMATION ABOUT THE ORGANISATION APPLYING		
1.1	<b>Organization name</b>	
1.2	<b>Office address</b>	
1.3	<b>Website address (If applicable)</b>	
1.4	<b>Main contact person</b>	Name: Position: Email: Tel:
1.5	<b>List the on-going Project/programs that are being implemented by your institution and are CRGE related.</b>	
SECTION 2: BASIC INFORMATION ABOUT THE PROPOSED PROJECT/PROGRAM		
2.1	<b>Project/program title</b> <i>(State your Project/program title in a clear statement that shows what you are intending to achieve).</i>	
2.2	<b>Where will the Project/program be implemented?</b>  <i>(Federal / Region level/woreda/Kebele) Please briefly describe the geographical location, Socio-Economic description and the description of the biological and physical Environment.</i>	
2.3	<b>Estimated Project/program duration</b>  <i>(in number of months: please also show as, dd/mm/yy to dd/mm/yy)</i>	
2.4	<b>What is the likely total cost of the</b>	

	<b>Project/program?</b> <i>(In US Dollars)</i>	
<b>2.5</b>	<b>ACRONYMS</b> <i>(Please list all acronyms used in your application, spelling out each one in full:)</i>	
<b>SECTION 3: FURTHER INFORMATION ABOUT THE PROPOSED PROJECT/PROGRAM</b> <i>(Maximum 3 pages for the whole of Section 3)</i>		
<b>3.1</b>	<b>PURPOSE, OBJECTIVE, SPECIFIC OBJECTIVES, APPROACH</b>	
<b>3.1.1</b>	<b>Project/program Background:</b> <i>(Outline the overall aim of the Project/program, the expected impact, outcome and outputs of the Project/program. Describe clearly what change it intends to achieve, and who will benefit). (Please don't exceed 150 words)</i>	
<b>3.1.2</b>	<b>Why</b> is this Project/program needed at this time (Problem Statement)? <i>(Clearly state evidence based justification of why the implementation of this Project/program is necessary in terms of climate change adaptation and/or mitigation/ what type of environmental, social and economic problems will be addressed because of this intervention. Define the problem observed in relation to the targeted group, targeted beneficiaries and give concrete examples of the problems)</i>	
<b>3.1.3</b>	<b>What</b> specific change is this Project/program intended to achieve? <i>(In this case write the 'General Objective' and then "Specific Objectives", ensure your objectives are set in a Specific, Measurable, Achievable, Realistic and Time bound (SMART) manner in such a way that they address specific climate change adaptation and/or mitigation objectives and expected results.)</i>	
<b>3.1.4</b>	<b>What</b> are the activities to be implemented by the Project/program to achieve the specific objectives described? <i>(Describe briefly the main activities planned to be implemented in this Project/program in a clear statement in logical and sequential order in numbers or bullets. Be sure that the activities are aligned with the objective stated in section 3.1.3)</i>	
<b>3.1.5</b>	<b>How</b> will Project/program monitoring and evaluation (M&E) and lesson learning be undertaken? <i>(please indicate who will be responsible for evaluation, how the Project/program will be monitored and evaluated (methodologies such as field work, desk review, interview, etc should be outlined). You need to describe how you are going to monitor the Project/program to ensure that it stays on track and it is delivering the expected impact)</i>	



3.2.	<b>FULFILMENT OF ELIGIBILITY CRITERIA</b>
3.2.1	<b>What</b> will be the strategic benefit of your Project/program in terms of contributing to Ethiopia’s climate resilient green economy? <i>(Please indicate the options that you have identified from the CRGE or Sectoral CR options?)</i>
3.2.2	Where relevant, identify <b>which</b> existing programme this activity will complement? <i>(please show how the activities in this Project/program complement but not overlap with existing programmes)</i>
3.2.3	<b>How</b> will your proposed activities contribute to poverty reduction? <i>(Please show how the implementation of the activities planned would contribute to the improvement of household income, creation of women and youth employment while enhancing the ecosystem/environment service giving capacity in a sustainable way)</i>
3.2.4	<b>What</b> are the expected benefits towards gender equality from your proposed activities? <i>( please show how the Project/program ensures women’s meaningful participation and equity and child welfare. Please also show the means of verification of this participation and equity.)</i>
3.2.5	<b>Who</b> are the direct beneficiaries and who are partners working in the Project/program and what roles do they have? <i>(please clearly show the direct beneficiaries of the Project/program, parties who will take part in the implementation of activities as it helps to show who is going to benefit, who is responsible or be partner for which type of task/activity)</i>
3.2.6	<b>How</b> will the Project/program activities be sustainable in the long term and what is the potential for scaling up? <i>(Please show what type of approaches are designed to ensure that Project/program activities under implementation will be carried on even after the termination of the Project/program. Please also show that how the results of the Project/program can be scaled up to other wider communities, geographical scope or other entities).</i>
3.2.7	<b>What</b> are the expected negative social and environmental impacts <i>(Please refer to FDRE Proclamation 299/2002 and Regulation No. 1/2007 for the national environmental and safeguards requirements when responding)</i> <b>How</b> will the expected negative social and environmental impacts due to the implementation of the Project/program be tackled?

<b>3.2.8</b>	<b>How</b> will the Project/programs take into account occupational health and safety aspects in line with Ethiopia's Proclamation on occupational health and safety (Proc. No. 377/2002)? <i>(As appropriate, please indicate what type of occupational health and safety practice will be considered during the implementation of the Project/program)</i>

## 7.2 PROGRAM/PROJECT/PROGRAM PROPOSAL TEMPLATE: TEMPLATE B

Please note the following page limits:

Sections 1-2 : 3 sides of A4

Sections 3-4 : 3 sides of A4

Sections 5-7 : 3 sides of A4

Please complete all sections even if some responses are the same as those submitted at the Concept note stage.

### SECTION 1: SUMMARY OF THE PROJECT/PROGRAM/PROGRAM PROPOSAL

1.1	<b>Project/program title</b> ( <i>State your Project/program/program title in a clear statement that shows what you are intending to do</i> )	
1.2	<p><b>Project/program/program summary</b> (<i>The summary paragraph should provide an overview of the proposed Project/program/program, useful for potential donor or for parties interested in gaining a better understanding of the Project/program/program with a limit of 150 words. The executive summary should include:</i></p> <ul style="list-style-type: none"> <li>➤ <i>the problem statement;</i></li> <li>➤ <i>the Project/program/program's objectives;</i></li> <li>➤ <i>implementing organizations;</i></li> <li>➤ <i>key Project/program/program activities; and</i></li> <li>➤ <i>the total Project/program/program budget)</i></li> </ul>	
1.3	<b>Lead organisation</b> ( <i>indicate the organization by which the execution of the Project/program/program will be conducted</i> )	

1.4	<b>Anticipated start date</b> (DD/MM/YYYY)	
1.5	<b>Project/program/program duration</b> (in number of months: please also show as, dd/mm/yy to dd/mm/yy)	
1.6	<b>Total funding requested</b> (in USD) (You are expected to provide budget details in Activity Schedule and budget Section 7)	
1.7	<p><b>Please list all acronyms used in your application</b> (Please list all acronyms used in your application, spelling out each one in full:)</p> <p>Eg: MEF: Ministry of Environment and Forest</p>	
<b>SECTION 2: INFORMATION ABOUT THE APPLICANT</b>		
2.1	<b>Organisation name</b>	
2.2	<b>Office address</b> (please write Region, Woreda, city, Kifle Ketema, Tel No,(cell and fixed) Fax, E-mail)	
2.3	<b>Website address</b> (if applicable)	
2.4	<p><b>Contact person/ Project/program/program Leader</b> (the person who has ultimate responsibility for delivering this Project/program/program I.e. the person who is the CRGE focal person. Write his/her Tel No, (cell and fixed) Fax, E-mail).</p>	
<b>SECTION 3: INFORMATION ABOUT THE PROJECT/PROGRAM/PROGRAM</b>		
3.1	<p><b>Project/program/program Background:</b> (Outline the overall aim of the Project/program/program, the expected impact, outcome and outputs of the Project/program/program. Describe clearly what change it intends to achieve, and who will benefit).</p>	

3.1.1	<b>Why</b> this Project/program/program is needed (Problem Statement)? <i>(Clearly state evidence based justification of why the implementation of this Project/program/program is necessary in terms of climate change adaptation and/or mitigation/ what type of environmental, social and economic problems will be solved because of the implementation of the Project/program/program. Define the problem observed in relation to the targeted group, targeted institutions and give concrete examples of the problems)</i>
3.1.2	<b>What</b> specific change is this Project/program intended to achieve? <i>(In this case write the ‘General Objective’ and then “Specific Objectives”, ensure your objectives are set in a Specific, Measurable, Achievable, Realistic and Time bound (SMART) manner in such a way that they address specific climate change adaptation and/or mitigation objectives and expected results.)</i>
3.1.3	<b>What</b> are the activities to be implemented by the Project/program to achieve the specific objectives described? <i>(Describe briefly the main activities planned to be implemented in this Project/program in a clear statement in logical and sequential order in numbers or bullets. Be sure that the activities are aligned with the objective stated in section 3.1.2)</i>
3.1.4	<b>Who</b> are the beneficiaries of this Project/program and what expected impact will it have on their present circumstance? <i>(Clearly state the direct beneficiaries of the Project/program as well as the indirect beneficiaries. It is also necessary to clearly state what type of change and impact the implementation of the Project/program will bring on the current situation of the direct and indirect beneficiaries).</i>
3.1.5	<b>What</b> change is this Project/program intended to achieve? State Project/program impact, outcome and outputs on the environment, biodiversity condition, land degradation, pollution, etc. as appropriate) <i>(these should be taken from the Project/program log frame/result matrix in section 9).</i>
3.2	<b>APPROACH AND METHODOLOGY</b>
3.2.1	<b>How</b> will the Project/program impact, outcome and outputs be achieved? Clearly describe the approach and methodology to be followed and list out activities planned in logical sequence. <i>( you will include a work plan and activity log in section 8 and 9)</i>

<b>3.3</b>	<b>PROJECT/PROGRAM MANAGEMENT AND IMPLEMENTATION</b>
<b>3.3.1</b>	<b>Who</b> will be carrying out the different Project/program activities? (Describe the Project/program implementation and management arrangements, including a clear description of the roles and responsibilities of each of the partners and the coordination role. <i>(Make sure that this will be consistent with the description you showed in the log frame/result matrix in section 10 and stakeholder's analysis matrix in section 11. You may wish also to present this as an appendix in the form of an organogram of how partners relate to each other). Please also provide detailed description of the project closure strategy with financial, technical and ESS considerations.</i>
<b>SECTION 4: MONITORING, EVALUATION, LESSON LEARNING</b>	
<b>4.1</b>	<b>How</b> will the performance of the Project/program be monitored and evaluated? <i>(Describe the responsible bodies and actors who will involve in the M&amp;E, lessons learning as consistent with the log frame. Please also describe how the log-frame will be used as a key monitoring tool).</i>
<b>4.2</b>	<b>How</b> will you involve beneficiaries in monitoring and evaluation? <i>(Clearly show how the beneficiaries themselves will be involved in the day to day and/or timely Project/program monitoring and evaluation. Please note that M&amp;E plans that are more inclusive will be favoured).</i>
<b>4.3</b>	<b>How</b> will you monitor organizational capacity building and change over the life of the Project/program? <i>(Please describe the monitoring mechanism of capacity built and change obtained during the Project/program life).</i>
<b>4.4</b>	<b>Lesson learning:</b> <i>(Please list the learning activities and lesson sharing strategy of the Project/program).</i>
<b>4.5</b>	Develop MRV plan: Please show what the MRV will look like [The MRV guide will be worked out and will be communicated in the mean time until the concept not and proposal is prepared by the prospective Project/program developers ]
<b>SECTION 5: POLICY CONTEXT AND IMPLICATIONS</b>	
<b>5.1</b>	In brief, outline how this Project/program will contribute towards providing the information required for national climate resilience and mitigation agenda. <i>(Please describe how the Project/program contributes to</i>

	<i>the initiatives of the Ethiopian Climate Resilient Green Economy Strategy agenda).</i>
<b>SECTION 6: PROJECT/PROGRAM RISKS<sup>2</sup> AND MITIGATION</b>	
<b>6.1</b>	Please outline the main risks to successful delivery of this Project/program indicating whether they are high, medium or low. How will these risks be mitigated? If the risks are outside your direct control, how will the Project/program design address them? <i>(Please complete the risk matrix in Section 11)</i>
<b>6.2</b>	What risks, if any, does this Project/program pose to the environment, people or institutions affected by the Project/program and how will these be managed and/or mitigated? Please complete Annex X environmental and social impact checklist and consider safeguard policy measures
<b>SECTION 7: STANDARDS FOR APPLICATION</b>	
<b>7.1</b>	<b>Impacts and benefits to the poor:</b> How will the proposed Project/program activities contribute to poverty reduction?
<b>7.2</b>	<b>Impacts and benefits on gender:</b> <u>What</u> are the expected benefits towards gender equality from your proposed activities?
<b>7.3</b>	<b>Partnership:</b> How will the Project/program foster greater partnership between climate actors in Ethiopia, and/or between Ethiopian climate actors and international counterparts?
<b>7.4</b>	<b>Results based:</b> What results will the Project/program deliver?

<sup>2</sup> Provide risk related information using the template in section 12

7.5	<b>Sustainability:</b> How will the benefits and results delivered by the Project/program be sustained and scaled up after FTI funding comes to an end?	
7.6	<b>Safeguard measures<sup>3</sup>:</b> What is the expected negative social and environmental impacts (FDRE Proclamation 299/2002 and Regulation No. 1/2007 for the national environmental and safeguards requirements when responding)	
7.7	<b>Occupational Health:</b> How will the Project/programs take into account occupational health and safety aspects in line with Ethiopia's has a specific Proclamation on occupational health and safety (Proc. No. 377/2002)? <i>(As appropriate, please indicate what type of occupational health and safety practice will be considered during the implementation of the Project/program)</i>	
<b>SECTION 8. BUDGET AND SUPPORT NEEDS</b>		
8.1	<b>Total cost of the Project/program (USD)</b>	\$
8.2	<b>Indicate if there is similar imitative/s which this Project/program would complement (Its name and remaining budget)</b>	
8.3	<b>What</b> information, training and technical support does your organization need for the proposed Project/program activities to have a high impact? How will this support be obtained (E.g. onsite supprt, training, workshop, etc)? What is the best way to deliver this training and technical support?	

<sup>3</sup> Fill the safeguard self-screening checklist presented in annex2 and submit it along with the proposal to the CRE Facility secretariat



## 9. ACTIVITY SCHEDULE AND BUDGET

Component and output	Outputs	Activity Description	Total	2014				Budget description in GB Pound Sterling	Amount in GB	Implementing organization
				Q1	Q2	Q3	Q4			
								•		
								•		
								•		
								•		
								•		

## 10 RESULT/LOGICAL FRAMEWORK

The following table presents description of the key log-frame components of project or program result framework

Project Description	Baselines	Targets	Performance Indicators	Means of Verification	Assumptions
<b>Goals/Impact:</b> The broader development impact to which the project contributes – at a national & sectoral level	Value of the development status before the implementation of programme	Specific, planned level of result to be achieved after the completion of the programme/project	Measures of the extent to which a sustainable contribution to the goal has been made. Used during evaluation	Sources of information & methods used to collect & report it	Overall Risk Analysis
<b>Outcomes/Purposes:</b> The development outcomes expected at the end of the project/programme. All components contribute to this.	Value of the performance indicator (institutional services or behavioral) that contribute to the achievement of the relevant result	Specific, planned level of result to be achieved at the end of the programme/project	Conditions at the end of the project indicating that the purpose has been achieved and that benefit are sustainable. Used for project completion and evaluation.	Sources of information & methods used to collect & report it	A necessary condition for the achievement of the outcomes &  potential events beyond the control of the programme that could adversely affect achievement of the desired result
<b>Outputs:</b> the direct measurable results (products, goods and services) of the project which are largely under management control & results from completion of activities of development interventions	Value of the performance indicator before the implementation of programme activities that contribute to the achievement of the relevant result	Specific, planned level of result to be achieved within an explicit timeframe (quarterly, annually, interim, five-year	Measures of the quantity and quality of outputs & the timing of the delivery. Used during monitoring & review	Sources of information & methods used to collect & report it	A necessary condition for the achievement of outputs & potential events beyond the control of the programme that could adversely affect achievement of the desired result
<b>Inputs and Activities :</b> The necessary resources and actions to cause the desired					

outputs					
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**Log-frame Template**

<b>Intended Results</b>	<b>Indicators</b>	<b>Activities</b>	<b>Means of Verification</b>	<b>Responsible Parties</b>	<b>Inputs</b>
			•	•	•
			•	•	•
			•	•	•
				•	•
			•	•	•
			•	•	•
			•	•	•

**11. STAKEHOLDERS MATRIX:** *(Identify key stakeholders (including civil society organizations, indigenous people, gender groups, and others as relevant; and describe how they will be engaged in Project/program preparation)*

Stakeholders	Relevant roles in the Project/program

**12. RISK MATRIX:** *(Indicate risks, including climate change, potential social and environmental risks that might prevent the Project/program objectives from being achieved, and, if possible, propose measures that address these risks to be further developed during the Project/program design).*

#	Description of the risk	Potential consequence	Risk mitigation options	Type (Risk category)	Probability & Impact (1-5) 1=low 5=very high	Remark
1-				Political	P=? I=?	
2-				Stakeholder engagement		
3-				organizational	P=? I=?	
4-				strategic	P=? I=?	
5-				financial	P=? I=?	
6-				ESS	P = ? I = ?	
7-				Natural disaster	P=? I=?	
8-				Manmade disaster	P=? I=?	

## Annex-1 CRGE Facility Result Matrix

Objective	Outcome/ Output	Indicator ( <i>unit</i> )	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
<b>IMPACT – Macroeconomic level</b>								
For Ethiopia to become a middle-income country by 2025, through economic growth that is resilient to climate change and results in no increase in carbon emissions		Total national GHG emissions (MT) – disaggregated by sector	150 (2010)  Ag = 75  Forestry = 55  Power = 5  Transport = 5  Industry = 5  Other = 5	150 (2030)	National GHG inventory	Bi-annually	MEF (National GHG Inventory)	Assumes the national GHG inventory and accounting protocol have been developed and are operational, and that sectors are accurately calculating their GHG emissions in line with internationally accepted methodologies
		<b>Additional Notes / Comments:</b> <ol style="list-style-type: none"> <li>Second National Communication (SNC) recently completed. Although Ethiopia is not required to report regularly to the UNFCCC (as a non-Annex 1 country), their current goal is to report on national GHG emissions bi-annually (Source: MEF)</li> <li>Alternatively, if the bi-annual GHG reporting system is not operational before 2020, consider completing the Third National Communication in line with the end of GTPII (2010).</li> </ol>						
		Total national GHG emission savings (MT) – disaggregated by sector		255 (2030)  Ag = 90  Forestry =	Sectoral MRV systems	Bi-annually	All CRGE priority sectors (MoA, MEF, MOWIE, MOI, MOT, MUHCo,	Sectoral MRV systems have been developed and are operational

Objective	Outcome/ Output	Indicator ( <i>unit</i> )	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
				130  Transport = 10  Industry = 20  Buildings = 5				
		<b>Additional Notes / Comments:</b>  3. Targets from GE Strategy (2011). See Figure 8 for total national abatement potential.						
		CO2-e emissions per US dollar of GDP (kg / USD)			National GHG inventory  MoFED Annual Reports	Bi-annually	MoFED (GDP) & MEF (GHG)	See above.
		<b>Additional Notes / Comments:</b>  4. See above.						
		<i>CRGE to choose one based on existing data systems &amp; availability</i>  Economic losses as a result of climate sensitive events			<i>To be confirmed with DRMFSS</i>	Annually	Disaster Risk Management and Food Security Sector (DRMFSS)	

Objective	Outcome/ Output	Indicator ( <i>unit</i> )	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
		(USD)  ...or...  Number of people affected by climate-related disasters (disaggregated by vulnerable group) – <i>GCF strategic- level indicator</i>						
		<b>Additional Notes / Comments:</b>  5. Economic losses cannot include those as a result of human loss or injury nor loss of ecosystem services (cannot quantify); 6. Agricultural losses (from pests, flood, birds, etc) are reported as part of the annual HH Agricultural Sampling Survey, however loss numbers may be significantly underreported (Source: CSA). 7. Although available for other countries, neither indicator is currently reported to EMDAT-CRED ( <a href="http://www.emdat.be/">http://www.emdat.be/</a> ). Adoption of either indicator would enable reporting to EMDAT. 8. For “number of people affected...” may consider disaggregation by vulnerable groups, including children, youth or elderly.						
		<i>FOR CRGE CONSIDERATION: Local Resilience Index</i>  <i>** Interim indicator could be used while Index is being developed (e.g. Percentage of food secure households, as</i>			<i>National census data</i>  <i>Household surveys (to complement secondary data sources)</i>	<i>Every 5 years</i>	<i>CRGE Secretary with support from CSA</i>	<i>Index could be developed using mostly secondary (CSA) data, complemented by additional data collection where necessary. Would require additional investment to develop index and to establish baseline.</i>



Objective	Outcome/ Output	Indicator (unit)	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
		collected by the Food Security Coordination Directorate, FSCD)						
<b>Additional Notes / Comments:</b>								
9. ACCRA has been doing work to assess “local adaptive capacity”; the Global Adaptation Index (GAIN) would be another sample index to tailor to Ethiopia (Rwanda is developing a similar metric for FONERWA, using GAIN)								
10. 5-year frequency proposed to align with national development planning cycles (e.g. 2015/16 – 2019/2020 for GTPII)								
<b>OUTCOMES</b>								
1 Agricultural systems strengthened using low carbon, climate resilient practices	1.1 Climate smart crop production practices adopted and productivity increased	1.1.1 (Change in) Rainfed crop area under sustainable, climate smart land management practices (ha) – by crop type (private holders only) <sup>4</sup>			(revised) Agricultural Sampling Survey	Annually	MoA and CSA	Revisions to the current Agricultural Sampling Survey required to ‘tag’ farmer practices as ‘climate smart’ or not.
<b>Additional Notes / Comments:</b>								
11. Indicator represents a modification to the current indicator “Applied area (ha) of improved seed, irrigation, pesticide, and fertilizer, by crop type, for private holders” (CSA Ag. Sample Survey)								
12. For private holders tagged as applying irrigation, see indicators 1.2.1 and 1.2.2.								
13. Private holders not tagged as applying irrigation automatically tagged as practicing “rainfed” agriculture.								
14. “crop area” refers to the CSA classification of productive land, or land that is currently under cultivation.								
15. For definitions of “sustainable, climate smart land management practices”, including minimum number of practices that must be								

<sup>4</sup> Similar to GCF proposed indicator: Area of agricultural land made more resilient to CC through changed agricultural practices.

Objective	Outcome/ Output	Indicator ( <i>unit</i> )	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
		applied in order to be considered – see SLMPII project documentation (including M&E system) or FAO’s <a href="#">Climate Smart Agriculture Sourcebook</a>						
		1.1.2 (Change in) Rainfed crop land productivity for major food crops (quintal per hectare) <ul style="list-style-type: none"> <li>▪ Conventional practices</li> <li>▪ Climate smart practices</li> </ul>			(revised) Agricultural Sampling Survey	Annually	MoA and CSA	See above.
		<b>Additional Notes / Comments:</b> <p>16. Indicator represents an improvement to current indicator “Area under cultivation, yield and production of major crops” and includes improvements adopted from both PBS and SLMPII projects</p> <p>17. See Comment 9 above.</p> <p>For private holders tagged as practicing “rainfed” and “sustainable, climate smart land management practices” (see Indicator 1.1.1 above), changes in crop productivity will be tracked separately from those private holders practicing rainfed agriculture but not yet having adopted climate smart practices.</p> <p>18. Major food crops include cereals, pulses and oil seeds</p>						
	1.2 Increased coverage of climate smart irrigation systems	1.2.1 (Change in) Total crop land under modern, climate smart irrigation systems (ha and %) <ul style="list-style-type: none"> <li>▪ Medium and large-scale</li> </ul>			(revised) Agricultural Sampling Survey  MoWIE Annual	Annually	MOWIE (medium and large-scale)  MoA (small-scale)	See above.  Climate data and analytical capacity exists in-country to assess future irrigation potential under climate change scenarios

Objective	Outcome/ Output	Indicator ( <i>unit</i> )	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
		<ul style="list-style-type: none"> <li>▪ Small-scale</li> </ul>			Reports		CSA	
		<p><b>Additional Notes / Comments:</b></p> <p>19. Indicator represents an improvement to current indicator “Area of land developed with medium and large scale irrigation” (GTP1; also proposed for GTPII)</p> <p>20. “<i>modern, climate smart irrigation systems</i>” to be defined by the Responsible Agencies but at minimum should require that climate information has been used to assess future irrigation potential of the region</p>						
		<p>1.2.2 <b>Small-scale irrigation:</b> (Change in) crop land productivity where modern, climate smart and small-scale irrigation applied (quintal per hectare)</p> <ul style="list-style-type: none"> <li>▪ Major food crops</li> <li>▪ High value crops</li> </ul>			( <i>revised</i> ) Agricultural Sampling Survey	Annually	MoA and CSA	Revisions to the current Agricultural Sampling Survey required to ‘tag’ farmer practices as ‘climate smart’ or not.
		<p><b>Additional Notes / Comments:</b></p> <p>21. TWG advised specifically tracking productivity gains associated with improvements / expansion of small-scale irrigation given its significance to rural livelihoods – including for both food security (major food crops) and rural incomes (high value crops) Major food crops include cereals, pulses and oil seeds.</p> <p>22. High value crops include fruit and vegetable crops.</p>						
	1.3 Increased productivity and resource efficiency of livestock sector	1.3.1 Emissions of CO2-e per litre milk produced			MoA MRV system  ( <i>revised</i> )	Bi-annually	MoA and CSA	Assumes the national GHG inventory and accounting protocols have been developed and are operational, and that sectors are accurately calculating their GHG emissions

Objective	Outcome/ Output	Indicator ( <i>unit</i> )	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
					Agricultural Sampling Survey  Livestock and Livestock Characteristics Survey			in line with internationally accepted methodologies (indicator requires quantification of GHG emissions from livestock sector – disaggregated by type of livestock)
		<p><b>Additional Notes / Comments:</b></p> <p>23. Significance of indicator: CR Strategy for Agriculture emphasizes improved efficiency of cattle production. Looking for increased milk production but reduced GHG emissions per head of livestock. Alternative indicator could be emissions CO<sub>2</sub>-e per head of livestock but this says nothing about improvements in milk production.</p> <p>24. Milk production not tracked under GTPI, however indicator represents an improvement to current indicators proposed for GTPII: Quantity of milk produced (l); and Average daily milk obtained during lactation from an animal (l). (No baseline data currently provided for either in draft GTPII).</p>						
		1.3.2 Productivity of communal pasture and rangeland (tons/ha) – feed / forage			Field surveys	Bi-annually	MoA and Regional counterparts	Ha of communal and pasture rangeland is known (woreda- level)
		<p><b>Additional Notes / Comments:</b></p> <p>25. Indicator represents an improvement to current indicator proposed for GTPII “Communal pasture and rangeland developed (Ha)” (no baseline currently identified)</p>						
		1.3.3 <b>Livestock diversification:</b> (Change in) Number of cattle to number of	1:0.93 (2013/14)		Agricultural Sample Survey	Annually	MoA and CSA	

Objective	Outcome/ Output	Indicator ( <i>unit</i> )	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
		poultry (ratio)	Source: 2013/14 Agricultural Statistical Abstract		Annual Agricultural Statistical Abstract  Livestock and Livestock Characteristics Survey			
		<b>Additional Notes / Comments:</b>  26. CR Strategy for Agriculture emphasizes transformation from beef to poultry production 27. Raw data for baseline calculation comes from the 2013/14 Agricultural Statistical Abstract (No. of cattle: 55,027,280; No. of poultry: 51,350,738)						
2 Forests and other natural resources protected and sustainably managed for their social, economic and ecosystem services	2.1 Forest management practices improved	2.1.1 Cumulative area of land covered with forest (ha) <ul style="list-style-type: none"> <li>▪ Protected (%)</li> <li>▪ Under improved forest management systems and reduced carbon emissions practices (%)<sup>5</sup></li> </ul>	15.9 million ha		MEF Annual Reports  State of the Environment Report (MEF)	Bi-annually	MEF & regional counterparts	<i>'forest'</i> to be defined by MEF (e.g. to include high forest area, woodland, shrubland, forest plantations, farm forests, etc)  Tracking changes in total forested area will require improved investment and monitoring technology. See program documentation for REDD+ in Oromia for examples.

<sup>5</sup> In line with GCF indicator: Forest area under improved management and reduced carbon emissions practices (ha).

Objective	Outcome/ Output	Indicator (unit)	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
		<b>Additional Notes / Comments:</b>  28. Current GTP indicators (also proposed under GTPII). 29. See also SOE Report 2008 and reference to a 2004 Woody Biomass Inventory and Strategic Planning Project (WBISPP) for definitions of 'forest' and calculation methods. More recently, see also the Draft Technical Report for Developing a Reference Level and Designing a MRV System for a REDD+ program in Oromia Regional State (DNV-GL, January 2015). 30. <i>"improved forest management systems and reduced carbon emissions practices"</i> may include community-based plans, catchment area plans, REDD+ systems, and other. 31. Tracking total forested area over time will provide indication of reforestation and deforestation trends nationally. Tracking % protected or actively managed provides an indication of the state of these forested areas. 32. In line with GCF indicator: Forest area under improved management and reduced carbon emissions practices (ha).						
		2.1.3 Change in household fuelwood consumption (kg)			Household Income and Consumption Expenditure Survey (CSA)  Household energy consumption surveys	Every 4 years	MoWIE, MEF, CSA	Improved efficiency cookstoves, alternative fuels or technologies available and accessible.
		<b>Additional Notes / Comments:</b>  33. A 2002 MoA study (below) found that the average annual per capita household consumption of fuel wood in the Bonga Natural forest area was 1300 kg (SOE 2008) 34. MoA. (2002). Study on the Contribution of Forestry to Food Security in Ethiopia. Ministry of Agriculture. Addis Ababa. Ethiopia.						
	2.2 Land and water resources management	2.2.1 Total area (individual & communal) of land under sustainable,			SLMP II documentation	Annually	MoA, MEF, CSA	National adoption of SLMP2 definition of 'sustainable, climate smart, land

Objective	Outcome/ Output	Indicator ( <i>unit</i> )	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
	practices strengthened	climate smart, land management plans						management plans'
		<b>Additional Notes / Comments:</b>  35. For definitions of “sustainable, climate smart, land management plans”, see SLMP II project documentation (including M&E system). May include community-based plans, catchment area or watershed plans, REDD+ systems, and other. 36. Forest land and productive land under sustainable, climate smart, land management plans captured under Indicators 1.1.1 and 2.1.1.						
		2.2.2 Number and type of sustainable water management practice introduced			MoA / MEF / MoWIE Program / project documentation  Annual reports	Annually	MoA, MEF, MoWIE, CSA	
		<b>Additional Notes / Comments:</b>						
3 Energy systems improved and modernized	3.1 Renewable energy generation capacity scaled-up and diversified	3.1.1 Installed capacity renewable energy, including from solar, wind, geothermal and/or biomass (type, GWh)		Proposed GTP II targets (2020):  <b>Solar:</b> 525 GWh <b>Geothermal:</b> 9,461 GWh  <b>Biofuel:</b>	MoWIE Program/ project documentation  MoWIE Annual Reports	Annually	MOWIE	

Objective	Outcome/ Output	Indicator ( <i>unit</i> )	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
				2,410 GWh  Wind: 1,971 GWh				
		<b>Additional Notes / Comments:</b>  37. Targets in MoWIE CR Strategy related to share of total electricity mix (e.g. 20% wind/solar and 10% geothermal) 38. No baseline values could be found.						
	3.2 Energy saving technologies adopted and national energy demand reduced	3.2.1 (Change in) Total power wastage (%)	21 % (2011)		MoWIE Program/ project documentation  MoWIE Annual Reports	Annually	MOWIE, Ethiopian Electric Power Corporation	
		<b>Additional Notes / Comments:</b>  39. Indicator identical to that proposed under GTPII (no baseline or target data provided to date) 40. Includes wastage from both sub-stations and transmission lines.						
		3.2.3 Annual energy savings – disaggregated by type of energy saving measure (e.g. light bulb campaign, building design, cook stove initiatives, green			Program/ project documentation  Annual Reports from MOWIE, MOI, MOT and	Annually	MOWIE, MOI, MOT and MUHCo  Ethiopian Energy Authority (EEA)	Assumes strong baseline data from robust MRV system available (e.g. that sectors can calculate the energy requirements under a “business-as-usual” effort vs. an energy-saving initiative)



Objective	Outcome/ Output	Indicator ( <i>unit</i> )	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
		fuels, efficient motors, etc) <sup>6</sup>			MUHCo			
		<b>Additional Notes / Comments:</b>  41. Calculated as an aggregation of energy savings across energy efficiency projects (from all relevant sectors) 42. MoWIE CR Strategy suggests that the implementation of improved efficiency lighting (in residential, commercial and industrial settings) and motors (for industrial and irrigation usage) could reduce energy demand by 7,930 GWh by 2030, a reduction of 12%. 43. Indicator in line with proposed GCF indicator, and CIF CTF results framework.						
4 Green cities, buildings, transportation and industrial systems developed and safeguarded against climate risks	4.1 Green, climate resilient housing and urban areas developed	4.1.1 Total advanced waste disposal (volume/year): <ul style="list-style-type: none"> <li>▪ Solid waste</li> <li>▪ Liquid waste</li> </ul>			MUHCo Annual Reports	Annually	MUHCo	
		<b>Additional Notes / Comments:</b>  44. From Cities Prosperity Report – Ethiopia (UN-Habitat) 45. Green, climate resilient urban areas refers to improved urban planning and infrastructure. This includes improved codes, standards and policies for urban assets and services such as drainage systems, waste and wastewater management systems, urban renewal plans, and urban green space. 46. ‘Advanced waste disposal’ refers to waste that has been collected, sorted, treated and disposed of using methods that are environmentally safe and socially acceptable.						
		4.1.2 Urban green area per capita (m <sup>2</sup> /urban			MoUDC Annual Reports	Annually	MoUDC	

<sup>6</sup> Indicator in line with proposed GCF indicator, and CIF CTF results framework.

Objective	Outcome/ Output	Indicator ( <i>unit</i> )	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
		habitant)						
		<b>Additional Notes / Comments:</b> 47. Indicator from Cities Prosperity Report – Ethiopia (UN-Habitat)						
	4.2 Green, resilient industries strengthened for domestic & regional markets	4.2.1 Proportion of industrial facilities reported to be non-compliant with national EIA regulations			MOI Annual Reports	Annually	MOI	EIA regulations are enforced and mechanisms are in place for compliance ‘spot checks’ / site visits from MOI, and/or citizen reporting of environmental concerns
		<b>Additional Notes / Comments:</b> 48. MOI to ensure kebeles, woredas and regions are reporting non-compliance, as well as citizen grievances against industries.						
		4.2.2 Population exposure to air pollution (%), gender disaggregated			MOI Annual Reports  State of Environment Reports (SOEs)	Annually	MOI and MEF	
		<b>Additional Notes / Comments:</b> 49. OECD GG indicators include “Human exposure to air pollution”, including PM2.5, PM10. Ozone 50. Ethiopia currently has limited data on air quality (SOE, 2008)						
	4.3 Low carbon climate resilient transportation modes expanded and	4.3.1 Total length of <b>low carbon transit network</b> built (kms) – disaggregated by			MoT Annual Reports  Program/	Annually	MOT with data from the Transport Authority	

Objective	Outcome/ Output	Indicator ( <i>unit</i> )	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
	adopted	type: <ul style="list-style-type: none"> <li>▪ Bike lanes</li> <li>▪ Rail</li> <li>▪ Light rail</li> <li>▪ Public transport systems</li> <li>▪ Pedestrian sidewalks</li> </ul>			project documentation			
		<b>Additional Notes / Comments:</b>						
		4.3.2 Household modal share (by transportation type) <sup>7</sup> <ul style="list-style-type: none"> <li>▪ Walking</li> <li>▪ Bicycle</li> <li>▪ Bus</li> <li>▪ Rail</li> </ul>			Transportation surveys	Every 5 years	MOT with data from the Transport Authority	
		<b>Additional Notes / Comments:</b>						
51. In line with GCF indicator								
<b>CO-BENEFITS (* all CRGE-relevant initiatives should report on a minimum of 1 co-benefit indicator under Pillar 5)</b>								
5 Climate resilient and green economic growth is	5.1 Food Security	5.1.1 Average net number of months of HH food insecurity (no.) – disaggregated by			PSNP documentation and data collection	Bi-annually	Food Security Coordination Directorate (FSCD) – MoA	

<sup>7</sup> In line with GCF indicator.

Objective	Outcome/ Output	Indicator ( <i>unit</i> )	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
<b>socially equitable and inclusive</b> , addressing the underlying drivers of vulnerability to climate risks.		female & male-headed households			methods			
		<b>Additional Notes / Comments:</b>  52. PSNP indicator defined as “Months of household food insecurity when PSNP transfers are excluded. See FSCD (MoA), or PSNP documentation, for further details.						
	5.2 Rural incomes & green jobs	5.2.1 Average value of household assets (%) – disaggregated by female & male-headed households			PSNP documentation and data collection methods	Bi-annually	Food Security Coordination Directorate (FSCD) – MoA	
		<b>Additional Notes / Comments:</b>  53. PSNP indicator to measure the value, in monetary terms, of household assets. See FSCD (MoA), or PSNP documentation, for further details.						
		5.2.2 Proportion of employment in environmental goods and services sectors (%)			National Labour Force Survey  Urban employment /	Every 5 years	CSA	

Objective	Outcome/ Output	Indicator ( <i>unit</i> )	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
					unemployment survey  Employment Survey of Addis Abeba			
		<b>Additional Notes / Comments:</b>  54. OECD GG indicator. Expressed as % of total employment, includes water supply, sewerage, waste management and remediation activities						
		5.2.3 Number of households reporting a wider variety of livelihood strategies (disaggregated by male and female-headed)			National Labour Force Survey  Household Income, Consumption and Expenditure Survey (HICES)  Welfare Monitoring Survey	Every 5 years	CRGE Secretariat (MoFED and MEF) and CSA	

Objective	Outcome/ Output	Indicator ( <i>unit</i> )	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
		<b>Additional Notes / Comments:</b>						
		55. Variation of GCF (including AF, GEF & PPCR)						
	5.3 Health & well-being	5.3.1 Incidence of climate related disease (# of reported cases per 1,000 population)			District Health Surveys  Welfare Monitoring Survey  MoH Annual Reports	Annually	MoH and Regional Counterparts	
		<b>Additional Notes / Comments:</b>						
		56. <i>“climate induced disease”</i> includes malaria, cholera, dengue and others. See Climate Resilience Strategy for the Ministry of Health (currently under development at the time of writing) for more information.						
	5.4 Access to basic services	5.4.1 Number of women and men with improved access to basic services (%)  <i>** See High Level Results Indicators from PBS for specific indicators to align with</i>			PBS Program Documentation	Annually	MoFED (as IE for PBS) together with MoE, MoH, MoWIE, MoA / CSA, Ethiopian Roads Authority (MoT)	

Objective	Outcome/ Output	Indicator (unit)	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
		<p><b>Additional Notes / Comments:</b></p> <p>57. “access to basic services” defined as access to services including education, health, agriculture, water supply and sanitation, as well as access to rural roads (** does not include currently include indicators related to access and connectivity to electricity. See indicators 5.2.2)</p> <p>58. Proposed refinement to PBS Water and Sanitation indicators (MoWIE) to capture the following: No. of households with year-round access to adequate potable water (quality &amp; quantity) [GCF indicator 2.2]</p>						
		5.4.2 Number of women and men accessing low emission or improved efficiency energy technologies <ul style="list-style-type: none"> <li>▪ Rural (W/M)</li> <li>▪ Urban (W/M)</li> </ul>			Program/ project documentation  Annual Reports – MoWIE and MoT	Annually	MOWIE, MoT	
		<p><b>Additional Notes / Comments:</b></p> <p>59. An aggregation / elaboration of what MoWIE is currently collecting on in their FTI: Number of people with access to improved cooking technologies (FTI); Number of beneficiaries of solar energy technologies (FTI)</p> <p>60. “low emission” energy technologies include renewable energy options, both on and off-grid systems (e.g. solar power generating stations and household mini-solar technologies)</p> <p>61. “improved efficiency” energy technologies may include improved cookstoves, energy efficient lightbulbs.</p>						
		5.4.3 Number of people using low emission transport – disaggregated by women and men			Transportation surveys	Every 5 years	MOT / Ethiopian Roads Authority (ERA)	

Objective	Outcome/ Output	Indicator ( <i>unit</i> )	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
		<b>Additional Notes / Comments:</b>  62. “low emission transport” includes walking, cycling, taking public transit (including light rail), or train. 63. Consider limiting this indicator to only women and men in urban environments given limited availability of low emission transport modes for rural populations currently.						
	5.5 Gender and differential vulnerability	5.5.1 Gender sensitivity of CRGE policies, plans, regulations and sector strategies			Gender sensitive analysis	Every 5 years	Ministry of Children, Youth and Women	
		<b>Additional Notes / Comments:</b>  64. In an effort to ensure gender and differential vulnerability considerations have built into the CRGE, key performance indicators of the CRGE results matrix have been designed to be gender-sensitive. To monitor the gender sensitivity of the CRGE, a gender sensitive analysis of CRGE achievements will be completed every 5-years, in line with the national development planning cycles.						
<b>CRGE ENABLERS</b> (* all sectors – starting with all CRGE priority sectors – should be required to annually report on each of the CRGE enabler indicators, showing evidence of a supportive, enabling environment for progress towards CRGE Outcomes)								
	<b>A. Data and information for decision support:</b> Increased generation and use of climate information in decision-making	A.1 Evidence of strengthened government capacity to collect, analyse and apply climate information to decision-making			CRGE scorecards  (see Sample in Annex of draft M&E System Manual)	Annually	<b>CRGE Secretariat</b> and all CRGE priority Ministries;  National Met Agency (NMA)	
		<b>Additional Notes / Comments:</b>  65. Variation on GCF core indicator 6.1 66. CRGE Secretariat will coordinate sectoral and national scoring using CRGE scorecards.						



Objective	Outcome/ Output	Indicator ( <i>unit</i> )	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
		A.2 Perception of men, women, vulnerable populations, and emergency response agencies of the timeliness, content and reach of early warning systems			Household survey  Survey of managers of emergency response agencies with data disaggregated by sex.	Every 5 years	Disaster Risk Management and Food Security Sector	
		<b>Additional Notes / Comments:</b>  67. GEF, GCF Core Indicator (6.2) 68. Consider developing an opportunistic monitoring tool to elicit community <i>members input into timeliness, content and reach of EWS following an advisory (e.g. a HH questionnaire or community “town-hall” style meeting)</i>						
		A.3 Number and value of physical assets strengthened or constructed to withstand conditions resulting from climate variability and change (e.g. to heat, humidity, wind velocity, floods) <sup>8</sup> –			Asset management plans  Annual reports from: MoT, MoI, MoWIE, MoA, MoUDC	Annually	<b>CRGE Secretariat</b> and all CRGE priority Ministries	

<sup>8</sup> In line with GCF and AF indicators

Objective	Outcome/ Output	Indicator ( <i>unit</i> )	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
		disaggregated by type						
		<b>Additional Notes / Comments:</b>  69. Types of “ <i>physical assets</i> ” may include roads, bridges, power facilities, wastewater treatments plants, irrigation systems, buildings (residential or commercial) 70. “ <i>strengthened or constructed to withstand conditions resulting from climate variability and change</i> ” means that current and/or future climate information related to changes in heat, humidity, floods, wind) has been used to inform asset design (e.g. engineering plans) 71. Assumption here is that if physical assets have been strengthened or constructed to withstand CV/CC, some form of climate information has been used. 72. In line with GCF and AF indicators [GCF Indicator 3.1]						
	<b>B. Greenhouse gas inventory and measurement, reporting and verification (MRV) systems:</b> Strengthened government systems to measure, report and verify GHG emissions and reductions	B.1 Number of sectoral MRV systems designed and operational			Annual sector reports	Annually	<b>CRGE Secretariat</b> and all CRGE priority Ministries	
		<b>Additional Notes / Comments:</b>  73. “ <i>designed and operational</i> ” requires that MRV systems are contributing to regular reporting on sector or project-based GHG emissions and/or emissions savings						

Objective	Outcome/ Output	Indicator (unit)	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
	<b>C. Policies, plans and regulations:</b> Strengthened government institutional and regulatory systems for green, climate resilient development planning	C.1 Degree of integration/ mainstreaming of climate change in national and sector planning and coordination			CRGE scorecards  <i>(see Sample in Annex of draft M&amp;E System Manual)</i>	Annually	<b>CRGE Secretariat</b> and all CRGE priority Ministries	
		<b>Additional Notes / Comments:</b>  74. Variation on GCF, CIFs PPCR & AF 75. CRGE Secretariat will coordinate sectoral and national scoring using CRGE scorecards.						
	<b>D. Knowledge, skills and capacities:</b> Strengthened government capacities to plan, resource and deliver green, climate resilient development results	D.1 Extent to which sectors use improved tools, instruments, strategies and activities to respond to climate variability and climate change			CRGE scorecards  <i>(see Sample in Annex of draft M&amp;E System Manual)</i>  Project / programme documentation (HHs, communities & businesses)		<b>CRGE Secretariat</b> and all CRGE priority Ministries	

Objective	Outcome/ Output	Indicator ( <i>unit</i> )	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
		<b>Additional Notes / Comments:</b> 76. GCF (PPCR and GEF) 77. CRGE Secretariat will coordinate sectoral and national scoring using CRGE scorecards.						
		D.2 National CRGE Capacity Assessment Score			CRGE Capacity Assessment Tool	Annually	<b>CRGE Secretariat</b> and all CRGE priority Ministries (using self-reported methods outlined in the NCDF)	
		<b>Additional Notes / Comments:</b> 78. Currently, from the draft Capacity Assessment Tool reviewed, modal scores are given for each of the 4 capacity areas.						

## **Annex 2-Checklist for the Environmental & Social screening at Proposal Development Stage**

### **Guidance:**

Screening of environmental and social issues of all projects financed by the CRGE Facility must be carried out as early as possible so that environmental and social risks, impacts and opportunities can be appropriately integrated into the project planning and implementation rather than being brought in at the last minute. To this effect, a project proponent, in consultation with concerned stakeholders and local communities, must take an early action to submit the filled in screening checklist along with the PIN. See Annex E-IX for the PIN template. It is vital to underline that effective identification and management of the environmental and social risks, impacts and opportunities are key pre-requisites to assisting project proponents with the progress of their projects in a timely and efficient manner. It should also be noted that the environmental and social assessment is not a single action but an on-going and iterative process that takes place throughout the project cycle. Therefore, it is essential that the environment and social issues are taken into account during identification, appraisal, implementation, monitoring and evaluation.

Therefore, it is useful to note the following points while preparing the checklist.

- This checklist should be prepared and submitted by a project proponent to the CRGE Facility Secretariat to support the environmental categorization of a project.
- For projects comprising different components (with significant impact difference) it may be necessary to prepare more than one checklist.
- This checklist should be completed with the assistance of an Environmental and Social Development Safeguards Specialists.
- As this checklist focuses mainly on environmental issues and concerns, please ensure that social dimensions are adequately considered by referring to the social assessment section of the framework.
- Answer the questions assuming the “without mitigation” case. The purpose is to identify potential impacts. The response may be yes- if the activity is likely to occur, no- if it is not expected to occur or unknown- if it is uncertain at this stage whether it will occur or not.
- Use the “remarks” section of section B to discuss any anticipated mitigation measures as well as quantification of impacts if possible.
- To have some information and know how on how to rate impact significance, please see Section C of Annex E-I.

### A: Project location & related information

Name of the Project & its location:				
Name of the Project Proponent:				
Summary of the project impacts:				
No.	Description	Responses of project proponent		
<i>I</i>	<i>Is the project area in or close to -</i>	<i>Yes</i>	<i>No or Not sure</i>	<i>Remarks, including description of distance, direction, connection to the project area</i>
1.1	• High forest priority areas			
1.2	• Biodiversity hotspot areas			
1.3	• Natural habitats			
1.4	• Cultural heritage site			
1.5	• Protected area, including its buffer zone			
1.6	• Wetlands			
1.7	• Densely populated area			
1.8	• Vulnerable people and community groups			

### B: Rapid environmental and social impacts screening checklist

	Environmental and Social Issues	Response of the proponent		
		Yes	No or not known	Remarks, including quantification of impacts if possible, & anticipated mitigation measures
<b>B. I</b>	<b>National and Regional State(s) Environmental &amp; Social Policies, Legislations and Standards</b>			
1.1	<b>Policies:</b> Is the project/operation consistent with national and regional state(s) environmental and social policies?			
1.2	<b>Legal context and compliance:</b> • Is the project/operation likely to be consistent with national and regional state(s) environmental and social legal frameworks (including multilateral environmental agreements & social conventions to which Ethiopia is a party)?			
1.3	<b>Environmental &amp; Social principles and standards:</b> • Is the project/operation likely to be consistent with the national and regional state(s) principles and standards?			
<b>B. II</b>	<b>Environmental Issues</b>			
2.1	<b>Environmental impacts:</b> • Will the project have an impact on air, soil, water through emissions or similar? • Will the project cause impacts on the environment through increased exploitation of natural resources (e.g. forests, fisheries, minerals) • Will the project cause alterations in the pattern of land use or land use conflicts?			
2.2	<b>Trans-boundary impacts:</b> • Will the project impact a cross-border national regional state(s) [(river, lake, forest, protected area, etc.)] • Will the project impact downstream riparian countries?			
2.3	<b>Protected areas:</b> • Does the project include activities within or adjacent to protected and			

	Environmental and Social Issues	Response of the proponent		
		Yes	No or not known	Remarks, including quantification of impacts if possible, & anticipated mitigation measures
	environmentally sensitive areas?			
2.4	<b>Critical Habitats:</b> <ul style="list-style-type: none"> <li>Does the project involve significant conversion or degradation of critical habitats?</li> <li>Does the project impact on an area of critical habitat?</li> </ul>			
2.5	<b>Biodiversity:</b> <ul style="list-style-type: none"> <li>Will the project impact an area high in biodiversity or impact on a vulnerable, endangered or critically endangered species?</li> <li>Will the project cause threat to the biodiversity and local local ecosystems due to invasive species?</li> </ul>			
2.6	<b>Forests:</b> <ul style="list-style-type: none"> <li>Will the project impact high forest priority areas?</li> <li>Will the project involve significant conversion or degradation of high forest areas?</li> </ul>			
2.7	<b>Cultural heritage:</b> <ul style="list-style-type: none"> <li>Will the project adversely impact non-replicable cultural property (e.g. archaeological, historical or religious sites), sites with unique natural values or intangible cultural heritage (e.g. social practices, rituals and festive events)?</li> </ul>			
2.8	<b>Pesticides Use &amp; Pollution:</b> <ul style="list-style-type: none"> <li>Will the project cause use of pesticides?</li> </ul>			
2.9	<b>Vulnerability to climate change:</b> <ul style="list-style-type: none"> <li>Will the outcome of the project and/or impact of the project on environment, communities or ecosystems be significantly affected by climate change projections?</li> <li>Will the project cause increase in flood flows?</li> <li>Will the project cause soil erosion and siltation?</li> </ul>			
2.10	<b>Climate change mitigation:</b> <ul style="list-style-type: none"> <li>Will the project cause Greenhouse Gas Emissions</li> </ul>			
B. III	<b>Social Issues</b>			
3.1	<b>Social assessment:</b> <ul style="list-style-type: none"> <li>Will the project/operation have significant adverse social impacts and risks?</li> </ul>			
3.2	<b>Involuntary resettlement:</b> <ul style="list-style-type: none"> <li>Will the project have any dislocation or involuntary resettlement?</li> <li>Will the project result in livelihood changes that can increase the pressure on available natural resources?</li> </ul>			
3.3	<b>Underserved and vulnerable groups and Peoples:</b> <ul style="list-style-type: none"> <li>Will the project have adverse impacts on vulnerable groups?</li> <li>Have vulnerable groups amongst impacted stakeholders been identified and included in project planning and consultation and engagement activities?</li> <li>Does the project have considered the Constitutional rights of underserved &amp; vulnerable peoples &amp; community groups (e.g. rights to lands, resources, &amp; to be consulted, etc.)</li> </ul>			
3.4	<b>Employment &amp; Labour Standards:</b> <ul style="list-style-type: none"> <li>Are there risks of forced and/ or child labour?</li> <li>Will the project cause increased local unemployment?</li> </ul>			
3.5	<b>Occupational and public health, safety and security:</b> <ul style="list-style-type: none"> <li>Will the project have an impact (direct /indirect) on occupational and public health and safety?</li> </ul>			
3.6	<b>Stakeholder engagement:</b> <ul style="list-style-type: none"> <li>Has the project engaged adequately with project-affected stakeholders?</li> </ul>			
B. IV	<b>Other Environmental &amp; Social Issues</b>			
4.1	<b>Project boundaries &amp; impacts:</b>			

	Environmental and Social Issues	Response of the proponent		
		Yes	No or not known	Remarks, including quantification of impacts if possible, & anticipated mitigation measures
	<ul style="list-style-type: none"> <li>• Are the project's ancillary/associated facilities/infrastructure and area of influence likely to pose any significant E&amp;S impacts and risks?</li> <li>• Will the project components generate or contribute to cumulative or long-term environmental or social impacts?</li> <li>• Are there other developments directly associated with the proposed operation or which in combination will generate high impact?</li> </ul>			
4.2	<p><b>Environmental and social management:</b></p> <ul style="list-style-type: none"> <li>• Is the environmental and social capacity/performance of the project proponent/promoter to manage environment and social issues satisfactory?</li> <li>• Does the promoter have an appropriate and effective management system in place?</li> </ul>			
4.3	<p><b>Supply chain:</b></p> <ul style="list-style-type: none"> <li>• Are there any risks of adverse environmental and social impacts of the project's supply chain?</li> </ul>			
4.4	<p><b>Risks:</b></p> <ul style="list-style-type: none"> <li>• Is the project/operation likely to pose significant risks from an environmental, climate and/or social point of view?</li> <li>• Is the CRGE-Facility likely to be exposed to any reputational risk?</li> </ul>			