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Contenido

Acrónimos

Resumen ejecutivo

Introducción

Capítulo 1. Las NAMA en el contexto internacional

Capítulo 2. Desarrollo de las NAMA en América Latina y El Caribe

2.1. Las NAMA en busca de apoyo para la preparación

2.2. Las NAMA en busca de apoyo para la implementación

2.3. Las NAMA en implementación

2.4. Las NAMA a nivel de ideas y en otros estadios

Capítulo 3. Interacción con los actores involucrados en las NAMA en América Latina y El Caribe

Capítulo 4. Las NAMA en la COP-20 en Lima

Capítulo 5. Barreras identificativas

Capítulo 6. Oportunidades identificadas

6.1. Financiamiento

6.2. Innovación tecnológica

6.3. Otras oportunidades

Capítulo 7. Conclusiones y recomendaciones

Bibliografía

Anexos



Acrónimos

ADOCEM	Asociación Dominicana de la Industria del Cemento de República Dominicana
ALC	América Latina y el Caribe
ANIQ	Asociación Nacional de la Industria Química de México
BAFD	Banco Africano de Desarrollo
BID	Banco Interamericano de Desarrollo
CAF	Banco de Desarrollo de América Latina
CCAP	Center for Clean Air Policy
CCC	Climate Change Capital
CMNUCC	Convención Marco de las Naciones Unidas para el Cambio Climático
CONAF	Corporación Nacional Forestal de Chile
CONAVI	Agencia Nacional de Vivienda de México
CONUEE	Comisión Nacional para el Uso Eficiente de la Energía de México
COP	Conferencia de las Partes de la Convención Marco de las Naciones Unidas para el Cambio Climático
CORFOGA	Corporación de Fomento Ganadero de Costa Rica
COSUDE	Agencia Suiza para el Desarrollo y la Cooperación
CTCN	Centro y Red de Tecnología del Clima
CTS	Centro de Transporte Sustentable de México
DCH	Desarrollo de Centrales Hidroeléctricas del Ecuador
DTU	Universidad Técnica de Dinamarca
ENCCRV	Estrategia Nacional de Cambio Climático y Recursos Vegetacionales de Chile
FAO	Food and Agriculture Organization of the United Nations
FONAM	Fondo Nacional del Ambiente del Perú
FONCAR	Fondo de Carbono de República Dominicana
GEF	Global Environment Facility
GEI	Gases de Efecto Invernadero
GIZ	Gesellschaft für Internationale Zusammenarbeit
GRUPOR	Grupo Nacional Porcino de Cuba
ICAFE	Instituto del Café de Costa Rica
IIP	Instituto de Investigaciones Porcinas de Cuba
INCC	Instituto Nacional de Ecología y Cambio Climático de México
INDC	Intended Nationally Determined Contribution
KfW	Kreditanstalt für Wiederaufbau
LCDS	Low Carbon Development Strategy
MAPS	Mitigation Action Plans and Scenarios
MDL	Mecanismo de Desarrollo Limpio
MRV	Monitoreo, Reporte y Verificación
NAMA	Acciones de Mitigación Nacionalmente Apropriadas
NEFCO	Nordic Environment Finance Corporation
OECD	Organisation for Economic Co-operation and Development
OLADE	Organización Latinoamericana de Energía
ONG	Organización No Gubernamental



PMR	Partnership for Market Readiness
PNUD	Programa de las Naciones Unidas para el Desarrollo
PoA-MDL	Programa de Actividades MDL
PUCP	Pontificia Universidad Católica del Perú
SEDATU	Secretaría de Desarrollo Agrario, Territorial y Urbano de México
SEMARNAT	Secretaría de Medio Ambiente y Recursos Naturales
SENER	Secretaría de Energía de México
TEC	Comité Ejecutivo de Tecnología
UCL	University College London
UNEP Risø	Programa de las Naciones Unidas para el Medio Ambiente, Ministerio de Relaciones Exteriores de Dinamarca y la Universidad Técnica de Dinamarca



Resumen ejecutivo

Las Acciones de Mitigación Nacionalmente Apropriadas (NAMA, por sus siglas en inglés) se han venido discutiendo a lo largo de los años en las Conferencias de las Partes de la Convención Marco de las Naciones Unidas para el Cambio Climático (COP) a partir de la decisión de su establecimiento en el año 2007 durante la COP 13 en Bali. Estas NAMA buscan articular los objetivos de los países hacia el desarrollo sostenible considerando las emisiones de carbono y, a su vez, un desarrollo social que prioriza la erradicación de la pobreza, para lo cual debe existir una presencia sólida, tanto del gobierno como del sector privado, pero, sobre todo, de las fuentes de financiamiento, tanto nacionales como internacionales, para su desarrollo, implementación y monitoreo.

Las NAMA cuentan con una plataforma de registro formal en la propia página web de la Convención Marco de las Naciones Unidas para el Cambio Climático (CMNUCC), de donde se ha extraído la información y con la cual se ha elaborado entrevistas a los actores responsables de las NAMA identificadas. Es así que en el marco de estas NAMA, muchos países han iniciado el camino para elaborar sus iniciativas, las que han atravesado diversas barreras para lograr el financiamiento deseado. Del mismo modo, también estas NAMA significan muchas oportunidades para el desarrollo de actividades de reducción de Gases de Efecto Invernadero (GEI). Al respecto existen 24 NAMAs registradas en la Plataforma de la UNFCCC y 32 NAMAs ubicadas en otras plataformas de registro dentro de las cuales destacan UNEP y ECOFYS. En total se han ubicado 56 iniciativas de NAMAs que se encuentran en diversos estadios y que en su mayoría busca financiamiento tanto para su elaboración como para su implementación.

Para un desarrollo específico del presente estudio, se han realizado entrevistas a los actores involucrados en el desarrollo de las NAMAs incluyendo a los puntos focales de cada país. De acuerdo a dichas experiencias se han elaborado casos los cuales muestran diversas barreras y oportunidades identificadas en la experiencia de cada caso de NAMA de los países entrevistados.

Dentro de las barreras más resaltantes se encuentra el acceso al financiamiento por fuentes de Cooperación Internacional donde el proceso se vuelve cada vez más tedioso, además de la existencia de una cantidad de solicitudes que va en aumento; otras de las barreras identificadas son la capacidad y el conocimiento de los beneficios de la implementación de una NAMA por parte de los actores involucrados, principalmente, del sector privado que observa que existe una necesidad de inversión de la cual no recibe ingresos adicionales. Y, finalmente, se observan barreras del tipo legal, donde los gobiernos vienen trabajando para incluir dentro de sus leyes, normas, reglamentos, etc., los componentes de mitigación y adaptación al Cambio Climático.

En lo que respecta a las oportunidades, se ha podido observar que existe una posibilidad alta de financiamiento a aquellas NAMA que presenten una articulación sólida entre los sectores involucrados en la misma, además del hecho de que aquellas que se basan en una estrategia nacional poseen mayores oportunidades para el financiamiento. Las lecciones aprendidas en el marco del Mecanismo de Desarrollo Limpio (MDL), sobre todo en la elaboración de Programas de Actividades MDL (PoA-MDL), son una ventaja para el desarrollo de las NAMA y la articulación de sectores competentes.

A nivel sectorial, el sector energético es uno de los más atractivos para desarrollar las NAMA por las capacidades ya desarrolladas en el MDL, ya que el mayor número de proyectos que se aplicaron a este mecanismo fueron de energía, y, por otro lado, debido al financiamiento, ya que existe interés por parte de los organismos financieros de apoyar diversas NAMA con un fuerte componente energético. Estas barreras y oportunidades, entre otras, son las que se mencionan en el documento de *Lecciones aprendidas en el desarrollo de las NAMA a nivel regional en América Latina y El Caribe*.



Introducción

La necesidad de encontrar mecanismos que conlleven a una reducción de GEI para mitigar el Cambio Climático en el planeta, ha promovido que desde el 2007, en la COP 13 de la CMNUCC, se decidiera la implementación de las NAMA, que son acciones que plasman objetivos nacionales que conllevan a un desarrollo específico en relación a las emisiones de carbono. Es así que, al 2014, ya se cuenta con diversas NAMA en proceso de diseño o implementación, de las cuales se puede obtener algunas lecciones aprendidas en el proceso que atravesaron, las que se busca recopilar y compartir para mejorar los procesos de diseño e implementación de estas en aquellos países donde aún la elaboración de las mismas es incipiente.

En la primera parte del presente estudio se analiza el proceso que atravesaron las NAMA en el marco de las negociaciones internacionales de las COP y además se muestran las definiciones más concretas a las que se ha llegado y con las que se han trabajado las NAMA existentes. Seguidamente, se presenta el estado de las NAMA en América Latina y El Caribe (ALC), donde se toma como fuente el registro oficial de las NAMA que se encuentran en la plataforma de la CMNUCC, y, dado que este registro es voluntario, se procedió a recolectar mayor información de otras fuentes de registro, como lo son, por ejemplo, los registros que poseen UNEP Risø Centre¹ y el de ECOFYS.

Posteriormente, se presenta el resultado de las entrevistas que se realizaron a actores claves de diecinueve distintas NAMA de ALC. De dichas entrevistas se procedió a analizar las barreras que ha atravesado cada NAMA para su diseño o implementación, así como también se han resaltado las oportunidades que existen en el medio para el desarrollo de las NAMA. Todo lo anterior se describe en el presente estudio, basado en fuentes confiables y entrevistas verificadas. Finalmente, cabe mencionar que el presente estudio fue elaborado por el Fondo Nacional del Ambiente del Perú (FONAM), por encargo de la Organización Latino Americana de Energía (OLADE), donde participaron la Dra. Julia Justo Soto y la Ing. Inés Mendoza Cámac, ambas del equipo de FONAM.

¹ Centro colaborador que opera bajo un acuerdo tripartito entre el Ministerio de Relaciones Exteriores de Dinamarca, el PNUMA y la Universidad Técnica de Dinamarca (DTU).

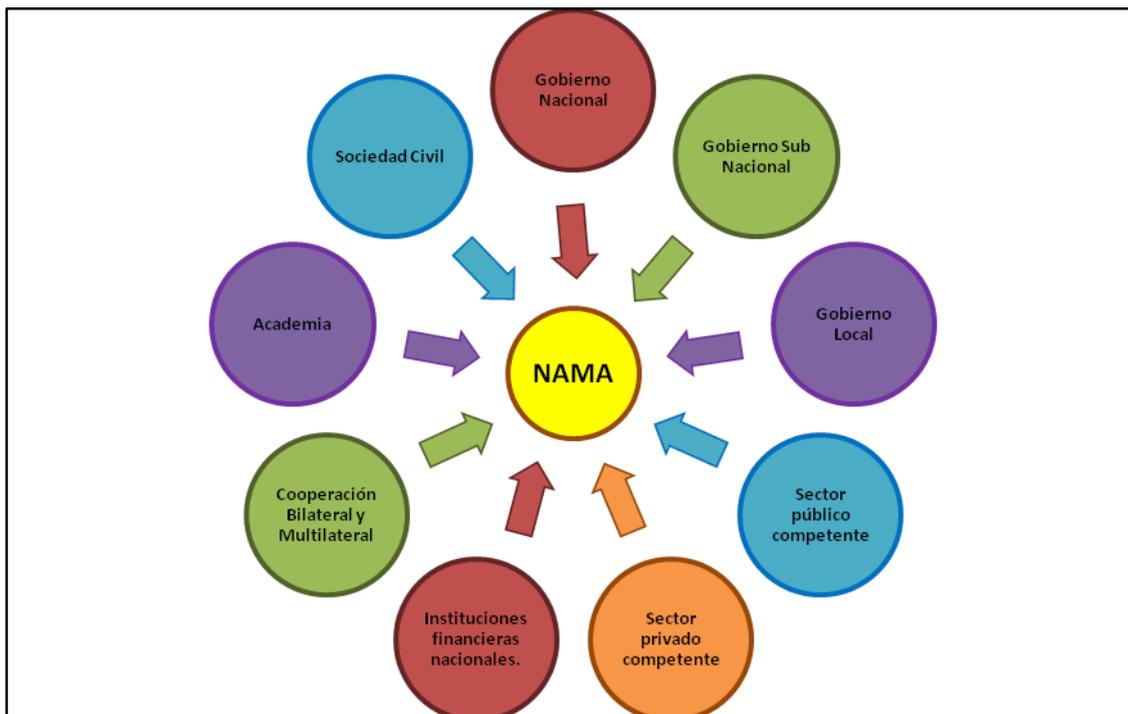


Capítulo 1 Las NAMA en el contexto internacional

Las NAMA

Son un conjunto de políticas y medidas que los países llevan a cabo como parte de un compromiso voluntario de reducción de emisiones de GEI. La estrategia de las NAMA debe representar los objetivos prioritarios de cada país para lograr un desarrollo sostenible que considere una economía baja en carbono y a su vez un desarrollo social priorizando la erradicación de la pobreza. Para lograr dicho objetivo, las NAMA deben ser apoyadas y facilitadas por diversos mecanismos promovidos por parte del gobierno de cada país, con el apoyo de ministerios nacionales, autoridades locales, sectores público competentes, sector privado competente, instituciones financieras nacionales, multilaterales y bilaterales, la academia, la sociedad civil y otros cuya participación se considere pertinente. Dichos mecanismos son: políticas, tecnologías, financiamiento y construcción de capacidades; todos los cuales deben contar con herramientas para un proceso de Monitoreo, Reporte y Verificación (MRV).

Gráfico N° 1: Actores involucrados en el apoyo para el desarrollo de una NAMA



Fuente: FONAM

Esto quiere decir que cada país puede desarrollar una NAMA en diferentes sectores que considere prioritarios, los que deben estar debidamente delimitados, para lo cual cada país debe proponer estas NAMA y darlas a conocer a nivel internacional, ya sea para mostrar el avance en reducción de emisiones mediante acciones nacionales y/o para la búsqueda de financiamiento para su elaboración y/o implementación.



Surgimiento de las NAMA

Las NAMA se decidieron en la COP 13 realizada en Bali, en 2007, donde se elaboró el Plan de Acción de Bali considerando el financiamiento, la transferencia de tecnología y el desarrollo de capacidades por parte de los países desarrollados hacia los países en desarrollo. A partir de ello, ya se visualizaba la necesidad de estos tres aspectos importantes para lograr el desarrollo sostenible de los países en desarrollo de manera que, a su vez, crecieran con economías bajas en emisiones de GEI, contribuyendo a la mitigación del Cambio Climático a nivel mundial. En la COP 15 realizada en Copenhague, en 2009, se tomó nota del Acuerdo de Copenhague, que promueve que los países en desarrollo inicien actividades nacionales de mitigación a ser reportadas cada dos años, de acuerdo a un sistema internacional de MRV que es requerido para la acreditación. Es así como en la COP 16 realizada en Cancún, en 2010, se decidió aplicar el concepto de NAMA como una herramienta que engloba dichos aspectos necesarios para lograr reducción de emisiones en una escala de tiempo hasta el 2020. En la misma decisión (Decisión 1 Capítulo 16) se establecen los mecanismos de mercado necesarios para:

- Asegurar la participación voluntaria de las Partes.
- Estimular la mitigación sectorial.
- Asegurar una disminución neta y evitar emisiones de GEI.
- Ayudar a países desarrollados a cumplir objetivos de mitigación.

Ya en la COP 17, en 2011, se estableció la Plataforma de Durban, donde se adoptaron diversos compromisos para que los países fijaran hojas de ruta sectoriales para lograr compromisos voluntarios de mitigación con reducción de emisiones con bajos impactos económicos mediante la obtención de apoyo en financiamiento, por parte de la cooperación internacional, para la transferencia de tecnología y la construcción de capacidades, entre otros aspectos requeridos identificados como prioritarios por el país para la implementación de las NAMA, y se adoptaron también los lineamientos para la presentación de los Informes de Actualización Bianuales (BUR, por sus siglas en inglés), los cuales deben contener la actualización del inventario de GEI, información sobre acciones de mitigación y necesidades de apoyo.

De este modo, se propone obtener una plataforma de registro internacional de las NAMA para facilitar el acceso al financiamiento, transferencia de tecnologías y desarrollo de capacidades. Dicha plataforma de información de las NAMA se encuentra en la página web de la CMNUCC². En el Anexo 1 se puede observar el Manual de Registro de las NAMA en la Plataforma de la CMNUCC. Se establecen compromisos de apoyo con recursos de cooperación internacional con el fin de proporcionar las condiciones necesarias a los países para desarrollar dichas NAMA en diversos sectores relacionados a la política y a los objetivos nacionales que tiene cada país en el largo plazo. En la COP 18 en Doha, se estableció con más precisión la plataforma de registro de las NAMA que buscan apoyo internacional, principalmente, para el financiamiento, la innovación tecnológica y la construcción de capacidades, además de servir como un

² http://unfccc.int/cooperation_support/nama/items/7476.php.



registro de reconocimiento de las iniciativas realizadas en cada país y de los objetivos logrados a la fecha.

Desarrollo de las NAMA

Las NAMA son medidas nacionalmente apropiadas y son consideradas actividades sectoriales prioritarias para cada país, lo que no necesariamente requiere que estas acciones sean aplicadas en todo el ámbito nacional, pero sí considera el involucramiento tanto del sector público como del sector privado. Para desarrollar las NAMA en un país, se ha observado que se requieren dos pasos importantes:

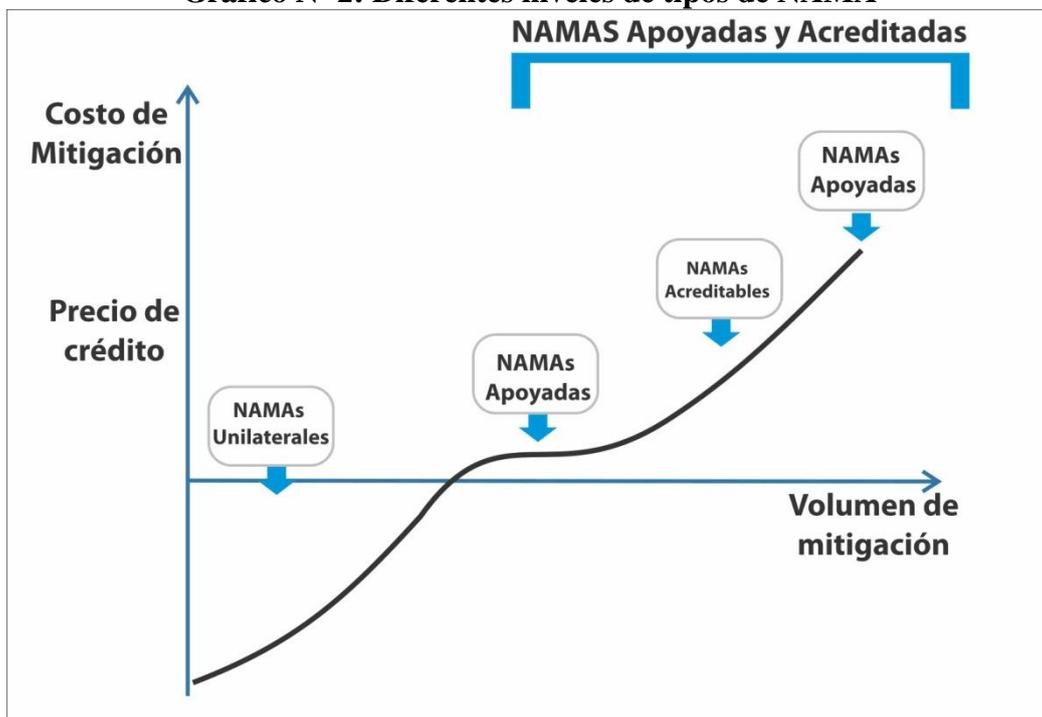
1. Desarrollo de una política nacional de mitigación que describa las actividades necesarias que deberán ser implementadas para conseguir el financiamiento, la construcción de capacidades y la transferencia de tecnología.
2. Diseño de un MRV cuyo esquema contemple las actividades para monitorear, verificar y reportar adecuadamente las acciones que permitan la reducción de emisiones de GEI que logra la NAMA con su implementación.

De acuerdo a lo establecido en la COP 16, en Cancún, existen tres tipos de NAMA:

1. Unilaterales: las NAMA que son desarrolladas con recursos financieros propios del país que los implementa.
2. Apoyadas: las NAMA que requieren el apoyo internacional para ser implementadas; este apoyo puede ser para la asistencia técnica o apoyo financiero propiamente dicho.
3. Acreditables: las NAMA que planean en un futuro transar las reducciones de emisiones de GEI logradas a modo de crédito de carbono y de esa manera financiar su implementación.



Gráfico N° 2: Diferentes niveles de tipos de NAMA



Fuente: Agencia Internacional de Energía Renovable³

A continuación se presentan las etapas de desarrollo de las NAMA es el siguiente desde la viabilidad hasta la implementación:

Gráfico N°3: Etapas de desarrollo de una NAMA



Fuente: Estudio técnico de Euroclina (2013-2014)

³ Manual sobre energías renovables.



El detalle breve de cada paso necesario se describe a continuación:⁴

- **Estudio de viabilidad:** Un estudio de viabilidad describe el potencial de una NAMA, pero puede no contar con el respaldo del gobierno ni de todos los actores involucrados.
- **Concepto:** Define un objetivo de mitigación, incluyendo información sobre las fuentes de emisión y las dinámicas del sector. Generalmente, tiene un propulsor y cuenta con el apoyo o la no-objeción de las autoridades, así como de algunos actores involucrados.
- **Propuesta/plan:** Se incluyen costos estimados, identificación de necesidades, el potencial de reducción de GEI y las actividades que se llevarán a cabo para lograrlo.
- **Implementación:** Se contemplan todos los elementos anteriores y se incluye, además, a las entidades financieras internacionales y otras organizaciones que darán apoyo a estas acciones, así como un marco de MRV.

Las fuentes de Cooperación Internacional están a la expectativa del Acuerdo producto de la COP 2015, en París, para identificar la posibilidad del uso de las NAMA como generadoras de créditos de carbono en países en desarrollo, para el cumplimiento de sus objetivos de mitigación. Otra fuente de financiamiento puede provenir del Partnership for Market Readiness (PMR)⁵, el que puede brindar asistencia a las NAMA que cumplan con dos requisitos: ser prioritarios para el país y que puedan generar créditos de carbono en el mediano plazo.

Las fuentes de cooperación priorizan el apoyo en base a ciertos principios. Por ejemplo, en el caso del NAMA Facility⁶, estos serían: *grandfathering*, es decir, una fuerte preferencia por organizaciones (los *delivery organizations*) con experiencia; criterios de calidad (marco temporal y preparación para la implementación); criterios financieros (capacidad de recibir ayuda oficial para el desarrollo, monto y sostenibilidad sin apoyo) y la «ambición» que comprende el potencial transformacional, el ámbito financiero, el potencial de mitigación y los co-beneficios de desarrollo sostenible. El aspecto financiero y los aspectos transformacionales son los más críticos en el NAMA Facility. En el Anexo 2 se puede observar las características de este fondo para las NAMA.

De lo anterior se puede concluir que los tipos de NAMA de interés son los que generan grandes reducciones con poca inversión, tienen gran capacidad para la replicación y son generados por instituciones «confiables». Siendo las NAMA una serie de acciones con un horizonte temporal al 2020 (Decisión 1, Capítulo.16: «[...] con el

⁴ Ecofys (2013). *Status Report on Nationally Appropriate Mitigation Actions (NAMAs)*.

⁵ Asociación mundial organizada por el Banco Mundial, países desarrollados y en desarrollo, que proporciona financiamiento y asistencia técnica para la innovación colectiva y la aplicación experimental de instrumentos basados en el mercado para la reducción de emisiones de GEI.

⁶ Es un programa conjunto entre Ministerio Federal Alemán de Medio Ambiente, Conservación de la Naturaleza, Construcción y Seguridad Nuclear (BMUB, por sus siglas en alemán) y el Departamento de Energía y Cambio Climático del Reino Unido (DECC, por sus siglas en inglés), que ofrece apoyo para la implementación de diversas NAMA de carácter ambicioso, para la transformación de países en desarrollo.

fin de conseguir una desviación en emisiones relativas al *business as usual* en 2020»), ellas, en principio, no guardan relación con las Contribuciones Nacionales que están por definirse en el Acuerdo de la próxima COP 21 en París; sin embargo, aquellas NAMA que no obtuvieron financiamiento pueden convertirse sin problema en Contribuciones Nacionales (INDC, por sus siglas en inglés).

Perspectivas de las NAMA

Las perspectivas de las NAMA están muy relacionadas con los acuerdos que se alcancen en París, sobre todo en el proceso conocido como ADP-WS2 (Workstream 2) que tiene el mismo marco temporal que los NAMA (antes del 2020). Un ejemplo para identificar y desarrollar diversas NAMA podemos encontrarlo en la Tabla 1 del documento técnico preparado por la Secretaría de la Convención⁷ muestra un menú de políticas sobre energías renovables que podrían ser usadas por los países para preparar distintas NAMA. El registro de las NAMA ha sido considerado como una herramienta para afinar políticas en eficiencia energética, en especial en conexión con el mecanismo financiero. Finalmente, cabe señalar que la decisión adoptada en Lima, conocida como «Llamado para la Acción de Lima», en su párrafo 18: «Reitera su resolución [...] de elevar la ambición en el período pre-2020 a fin de asegurar los mayores esfuerzos posibles de mitigación bajo la Convención por todas las Partes». Con esto se refuerza la necesidad de avanzar con las NAMA hasta el 2020.

Oportunidades futuras

En el evento paralelo a las reuniones previas a la COP 19 en Bonn, en 2013, organizado por la UNFCCC, se evaluó el futuro de las NAMA en un régimen climático post-2020. Se encontraron tres posibles funciones:

1. Las NAMA pueden ser los bloques de construcción lógicos para planes de acción doméstica, estrategias de desarrollo bajas en carbono y metas.
2. Las NAMA son herramientas útiles para la acción climática concreta en el terreno y la asistencia técnica y financiera internacional asociada; es decir, las NAMA pueden servir como instrumento para la implementación de compromisos de apoyo bajo el acuerdo de 2015.
3. Las NAMA pueden ser la base para la articulación de los compromisos o el reporte internacional.

El concepto de «NAMA» tiene características atractivas para un mundo post-2020 y aunque ello no brinde una solución integral, debido a su flexibilidad y adaptabilidad es aceptable a un amplio rango de actores y acciones. Además, pueden coexistir con compromisos vinculantes y mecanismos de mercado. Sin embargo, el futuro de las NAMA en el post-2020 dependerá de aspectos operacionales del Fondo Verde para el Clima (GCF, por sus siglas en inglés), así como del vínculo entre las NAMA y las INDC, los aspectos de reporte de las NAMA y otros mecanismos bajo la COP.

⁷ <http://unfccc.int/resource/docs/2014/tp/03.pdf>.



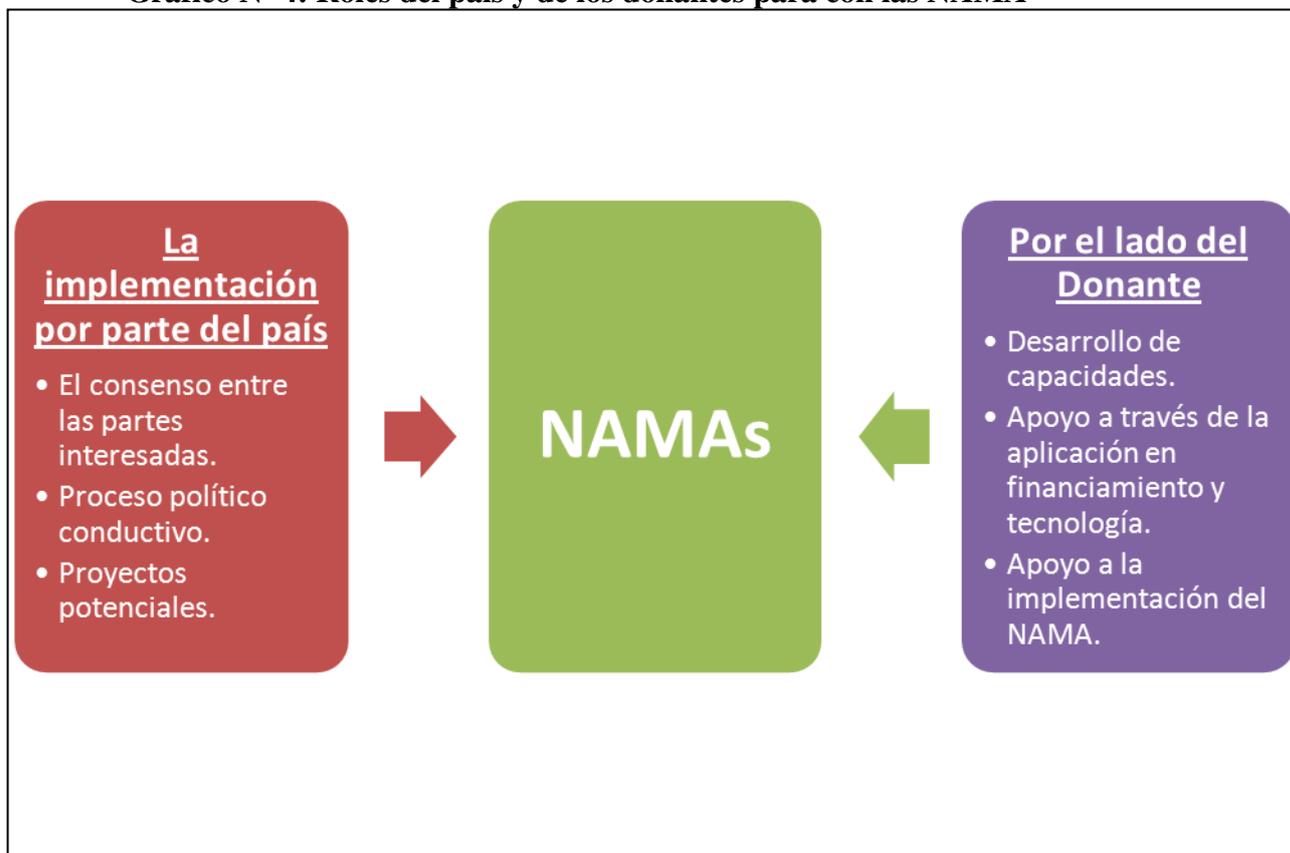
Relaciones de las NAMA con el proceso de las INDC

Durante la COP 19 las Partes acordaron «iniciar o intensificar la preparación de sus intencionadas contribuciones nacionalmente determinadas» para remitirlas antes de la COP 21 en París. En Lima acordaron preparar un informe de síntesis con lo remitido hasta el 1 de octubre de 2015. Las contribuciones pueden ser de naturaleza diversa, con metas absolutas o relativas, e incluso sectoriales, como de eficiencia energética o de energías renovables, y podrían aún ser políticas y proyectos de carácter ambicioso. De esta manera, las NAMA se relacionan con las contribuciones de diferentes maneras:

- Las NAMA pueden ser acciones para implementar las INDC.
- Las NAMA pueden servir de punto de partida para definir las INDC.
- Las NAMA pueden ser usadas como contribuciones (perdiendo su carácter voluntario y pudiendo adoptar carácter de compromiso, si así se decidiera en el acuerdo).

Es decir, la gran diferencia radica en el carácter vinculante de las INDC, que, a diferencia de las NAMA voluntarias, aún deben ser definidas. Sin embargo, los elementos comunes de flexibilidad y diversidad se mantienen, habiendo gran libertad de alcances, interpretaciones y orientaciones propias de cada país.

Gráfico N° 4: Roles del país y de los donantes para con las NAMA



Fuente: Elaboración propia



Capítulo 2

Desarrollo de las NAMA en América Latina y El Caribe

Como se mencionó en el capítulo anterior, en la COP 16 se decidió la creación de un registro para las NAMA, con dos propósitos: el primero para solicitar la búsqueda de apoyo internacional con el fin de facilitar el financiamiento, la transferencia de tecnología, el apoyo para creación de capacidades, por un lado, y por otro, con el firme propósito de otorgar únicamente reconocimiento a la iniciativa presentada por el país que registre su NAMA, el cual no necesariamente requiere de financiamiento para su desarrollo. A estas últimas NAMA se les conoce como las «NAMA Unilaterales». Este registro es manejado desde la plataforma de la CMNUCC⁸ y significa una oportunidad para los países para presentar las NAMA que va desarrollando en una plataforma oficial y así generar interés en las actividades desarrolladas en su país y conseguir apoyo o reconocimiento para el surgimiento de la NAMA propuesta. De acuerdo al registro, existen veinticuatro NAMA en ALC registradas a la fecha, en diferentes etapas de implementación, las cuales se describen a continuación (sin embargo, no existe a la fecha un registro de las NAMA Unilaterales). Cabe señalar que además existen 32 iniciativas de NAMAs en diferentes estadios las cuales se encuentran recopiladas en otras fuentes de apoyo como UNEP y ECOFYs y su detalle se menciona más adelante. En ese sentido las NAMAs registradas en la plataforma de la UNFCCC son las siguientes:

2.1. Las NAMA en busca de apoyo para la preparación⁹

Existen cinco NAMA a nivel de ALC que se encuentran en este proceso por un monto de inversión de US\$ 3.2 millones, que son las siguientes:

Cuadro N°1: NAMA en busca de apoyo para su preparación

NAMA	País	Monto requerido para la preparación US\$ Millones
Producción sostenible con tecnologías bajas en emisiones en la agricultura y las cadenas productivas de la agroindustria.	Uruguay	0.63
Programa de Viviendas Sustentables	Uruguay	0.35
Programa de Alta Integración de Energía Eólica	Uruguay	1.25
Cogeneración en el sector gas e hidrocarburos	México	0.078
NAMA Urbano	México	0.9

Fuente: NAMA Registry (CMNUCC).

⁸ http://unfccc.int/cooperation_support/nama/items/7476.php.

⁹ NAMA Registry-UNFCCC.



2.2. Las NAMA en busca de apoyo para la implementación¹⁰

Existen quince NAMA en América Latina y El Caribe que, actualmente, se encuentran solicitando apoyo para la implementación de los mismos, por un monto de inversión de US\$ 4,893.8 millones, y son los siguientes:

Cuadro N°2: NAMA en busca de apoyo para su implementación

NAMA	País	Monto requerido para la implementación (US\$ millones)
Implementación de una Estrategia Nacional Forestal y Cambio Climático, incluyendo el desarrollo e implementación de una plataforma para la generación y comercialización de créditos de carbono del bosque	Chile	22.8
Introducción de la Energía Solar Fotovoltaica en la Red Eléctrica Nacional	Uruguay	2.0
La ampliación de los Sistemas de Autoabastecimiento de Energías Renovables (SSRES)	Chile	31.5
Programa Nacional de Gestión de Residuos Orgánicos Comerciales e Industriales	Chile	160.0
Turismo y Residuos en República Dominicana	República Dominicana	370.0
Estrategia de Desarrollo Bajo en Carbono para Clima Resiliente	Dominica	1 000.0
Eficiencia Energética en el Sector Público	República Dominicana	145.3
NAMA en Granjas de Porcinos	República Dominicana	38.8
Transporte Santiago-Zona Verde (STGZ)	Chile	17.6
Programa de Acciones de Reducción de Emisiones (NAMA) en el sistema de proceso, transporte y distribución de Gas Natural a través de la reducción de emisiones fugitivas	México	47.9
NAMA para nuevas construcciones residenciales	México	3 003.4
NAMA para reequipamiento sostenible de viviendas	México	2.5
NAMA en Desarrollo Orientado en Tránsito	Colombia	19
Cogeneración en el sector gas e hidrocarburos	México	32.1
NAMA Urbano	México	0.9

Fuente: NAMA Registry (UNFCCC).

En el cuadro anterior se muestra que existen dos NAMA que han recibido apoyo a la fecha: a) El «Programa de Acciones de Reducción de Emisiones (NAMA) en el Sistema de proceso, transporte y distribución de Gas Natural a través de la reducción de emisiones fugitivas» de México, el cual ha obtenido financiamiento del NAMA Facility

¹⁰ NAMA Registry-UNFCCC.



por un monto de US\$ 17 millones para su implementación (sin embargo aún queda por financiar un monto de US\$ 30.9 millones¹¹); y b) La NAMA de Ampliación de los Sistemas de Autoabastecimiento de Energías Renovables (SSRES), en Chile, el cual ha recibido un financiamiento de la NAMA Facility por un monto de 15 millones de Euros, existiendo aún una necesidad de financiamiento de US\$ 10 millones aproximadamente¹².

2.3. Las NAMA en implementación¹³

Finalmente, existen cuatro NAMA que se encuentran en etapas de implementación, por un monto de inversión de US\$ 673.48 millones, los cuales son:

Cuadro N°3: NAMA en Implementación

NAMA	País	Monto preparación e implementación (US\$ millones)	Reducción de Emisiones Acumuladas al año 2020 (MtnCO ₂ eq)
Terminal de GNL con una capacidad de regasificación de 10.000.000m ³ /d de Gas Natural con posible ampliación a 15.000.000m ³ /d.	Uruguay	505*	3.9
Promoción de la participación de las energías renovables en el mix energético primario uruguayo.	Uruguay	2.14	41.6
Acuerdos de Producción Limpia en Chile.	Chile	160.04	18.4
NAMA en Cemento/Co-Procesamiento y Sector Residuos.	República Dominicana	6.3	2

(*) préstamo

Fuente: NAMA Registry (UNFCCC).

La NAMA de Cemento/Co-Procesamiento y Sector Residuos también ha recibido un financiamiento para su implementación por parte del gobierno alemán por un monto de 4.5 millones de Euros (US\$ 6.3 millones, aproximadamente), con lo cual República Dominicana viene implementando la NAMA.

2.4. Las NAMA a nivel de ideas y en otros estadios

Aparte del Registro Oficial que se encuentra en la plataforma de la UNFCCC, existen diversas iniciativas de las diversas NAMA que aún no han sido publicadas en dicha plataforma, ya que se trata de un registro voluntario, como se verá más adelante. En ese sentido, se han recopilado las NAMA de otras fuentes que también han realizado

¹¹ NAMA pipeline-UNEP Risø.

¹² NAMA pipeline-UNEP Risø.

¹³ NAMA pipeline-UNEP Risø.



esfuerzos por recoger información de las NAMA que aún no han sido registradas en el NAMA Registry de la CMNUCC, como es el registro que cuenta el Programa de las Naciones Unidas para el Medio Ambiente, Ministerio de Relaciones Exteriores de Dinamarca y la Universidad Técnica de Dinamarca (UNEP Risø), que recoge mucha información del NAMA Registry con algunos datos adicionales de importancia relevante, con lo cual se ha completado la información de los Cuadros 1, 2 y 3, y se ha recogido información de Ecofys, que también ha llevado un ordenado registro de las NAMA e incluyen en su registro, además, gran cantidad de NAMA que no se han registrado en el NAMA Registry pero que van por buen camino, e incluso recoge las NAMA que se están implementando. Dichas iniciativas representan una inversión aproximada de US\$ 3,474.16; millones, sin embargo, no todas las NAMA a continuación presentan dicha información, por lo cual este monto es un aproximado y se detalla a continuación:



Cuadro N° 4: Listado de las NAMA no registradas en la plataforma NAMA Registry¹⁴

N°	NAMA	País	Etapa	Sector	Proponente	Soporte Técnico	Costo millones US\$	Financiamiento Recibido(*) millones US\$	Tipo	Financiador
1	PROBIOMAS A: Proyecto de Promoción de Energía a partir de Biomasa	Argentina	En elaboración	Suministro de Energía (Energías renovables)	Ministerio de Agricultura, Ganadería y Pesca, el Secretario de Agricultura y el Ministerio de Planificación Federal, Inversión Pública y Servicios, Secretaría de Energía	FAO	750	ND	ND	ND
2	NAMA en eficiencia energética y energía renovable	Barbados	En elaboración	Suministro de Energía (Energías renovables)	Gobierno de Barbados	BID	ND	1	Donación	GEF
3	CSP NAMA	Chile	En elaboración	Suministro de Energía (Energías renovables)	Gobierno de Chile	BID	486	ND	Préstamo	CTF / BID
4	Energía Renovable no convencional fuera de red	Chile	En elaboración	Suministro de Energía (Energías renovables)	Centro de Energía Renovable	Ecofys Chile	ND	ND	ND	IKI
5	NAMA en	Chile	En elaboración	Residuos	Ministerio del Ambiente	ND	ND	ND	ND	Gobierno de

¹⁴ NAMA Database-Ecofys.


N°	NAMA	País	Etapa	Sector	Proponente	Soporte Técnico	Costo millones US\$	Financiamiento Recibido(*) millones US\$	Tipo	Financiador
	residuos orgánicos									Canadá
6	Precio fondo de estabilización para Energías Renovables	Chile	En elaboración	Suministro de Energía (Energías renovables)	Centro de Energía Renovable	CCAP	15	ND	ND	ND
7	Programa de eficiencia energética en el sector transporte	Chile	En elaboración	Transporte	Ministerio de Transporte y Ministerio del Ambiente	Iniciativa MAPS	ND	ND	ND	ND
8	NAMA en vehículos eléctricos	Colombia	En elaboración	Transporte	ND	Iniciativa MAPS	1212	ND	ND	ND
9	Sistemas Integrados de Movilidad Urbana como un mecanismo de acreditación	Colombia	En elaboración	Transporte	Ministerio de Transporte	GIZ	209	ND	ND	ND
10	Estudio piloto de NAMA: Plan Nacional	Colombia	En elaboración	Transporte	Ministerio de Transporte	ND	ND	ND	ND	BID

N°	NAMA	País	Etapa	Sector	Proponente	Soporte Técnico	Costo millones US\$	Financiamiento Recibido(*) millones US\$	Tipo	Financiador
	para el transporte de mercancías									
11	NAMA Programa de reciclaje	Colombia	En elaboración	Residuos	Ministerio de Medio Ambiente y Desarrollo Sostenible, Ministerio de Vivienda	CCAP	288.5	ND	ND	Gobierno de Canadá
12	Desarrollo Orientado al Tránsito	Colombia	Implementación	Transporte	Ministerio de Transporte y Ministerio de Vivienda	CCAP	ND	14.9	Donación	NAMA Facility
13	Sector de la ganadería ecológica competitiva	Costa Rica	En elaboración	Agricultura	Ministerio de Agricultura y Ganadería	PNUD Costa Rica	ND	ND	ND	ND
14	NAMA Vivienda Baja en Carbono	Costa Rica	En elaboración	Construcción	Ministerio de Vivienda y Asentamientos Humanos	ND	80	ND	ND	ND
15	NAMAs en el sector Café	Costa Rica	Implementación	Agricultura	Ministerio de Agricultura y Ganadería	Coopedota R.L., GIZ	ND	7	Donación	NAMA Facility
16	NAMA en residuos sólidos ordinarios	Costa Rica	En elaboración	Residuos	Ministerio de Salud y Ministerio de Energía y Ambiente	GIZ	4.15	ND	ND	ND
17	NAMA en refrigeradores	México	En elaboración	Construcción	ND	DNV KEMA	ND	ND	ND	PMR

N°	NAMA	País	Etapas	Sector	Proponente	Soporte Técnico	Costo millones US\$	Financiamiento Recibido(*) millones US\$	Tipo	Financiador
	domésticos									
18	NAMA transporte de mercancías	México	En elaboración	Transporte	Secretaría de Medio Ambiente y Recursos Naturales (SEMARNAT)	Semarnat, Sener, INECC, CONUEE	19.76	ND	ND	Gobierno Alemán
19	NAMA basado en el Programa Federal de Transporte Masivo	México	En elaboración	Transporte	Secretaría de Medio Ambiente y Recursos Naturales (SEMARNAT)	Ecofys, Centro de Transporte Sustentable (CTS) México	380	ND	ND	Ministerio Alemán de Ambiente e Infraestructura
20	NAMA en viviendas sostenibles	México	Implementación	Construcción	Agencia Nacional de Vivienda (CONAVI), Secretaría de Medio Ambiente y Recursos Naturales (SEMARNAT)	GIZ	ND	14	Donación	BMU Alemán y NAMA facility
21	NAMA en la industria química	México	En elaboración	Industria	Asociación Nacional de la Industria Química (ANIQ)	Semarnat, INE, UNDP	ND	ND	ND	Unión Europea
22	NAMA en pequeños y medianos negocios	México	En elaboración	Suministro de Energía (Energías renovables)	Ministerio de Energía y GIZ	GIZ	ND	ND	ND	KfW
23	NAMA en el	Perú	En elaboración	Construcción	Ministerio del Ambiente	Alianza de	ND	ND	ND	Gobierno de

N°	NAMA	País	Etapa	Sector	Proponente	Soporte Técnico	Costo millones US\$	Financiamiento Recibido(*) millones US\$	Tipo	Financiador
	sector vivienda					Exportadores en Eficiencia				Canadá
24	NAMAs en la generación y uso final de la energía	Perú	En elaboración	Suministro de Energía (Energías renovables)	Ministerio del Ambiente y Ministerio de Energía y Minas	Eco Resources	29.45	4.5	Donación	GEF
25	NAMA de conversión de residuos en energía en el sector de la agricultura	Perú	En elaboración	Suministro de Energía (Energías renovables)	Ministerio del Ambiente	Ecofys	ND	ND	ND	ND
26	Programa de Residuos Sólidos	Perú	En elaboración	Residuos	Ministerio del Ambiente	NIRAS, Perspectives, ECO, Miranda y Amado Abogados, PUCP y CCAP	ND	ND	ND	NEFCO
27	NAMA en transporte urbano sostenible	Perú	En elaboración	Transporte	ND	UCL	ND	ND	ND	ND
28	NAMA en Ladrilleras	Perú	En Elaboración	Producción	Ministerio de la Producción	PNUD	ND	ND	ND	ND
29	NAMA en	Uruguay	En elaboración	Construcción	Ministerio de Industria,	ND	0.3	ND	ND	ND

N°	NAMA	País	Etapas	Sector	Proponente	Soporte Técnico	Costo millones US\$	Financiamiento o Recibido(*) millones US\$	Tipo	Financiador
	energía térmica solar			y Suministro de Energía	Energía y Minería; Ministerio de Vivienda, Ordenamiento Territorial y Medio Ambiente.					
30	NAMA en Porcinos	Cuba	En elaboración	Agopecuario	Centro de Gestión de la Información y Desarrollo de la Energía (CUBAENERGIA	Grupo Nacional Porcino (GRUPOR) y el Instituto de Investigaciones Porcinas (IIP),	ND	0.06	ND	OLADE PNUD
31	NAMA en Transporte	Cuba	En elaboración	Transporte	Centro de Gestión de la Información y Desarrollo de la Energía (CUBAENERGIA	Instituto de Investigaciones de Transporte	ND	ND	ND	OLADE PNUD
32	NAMA Energía Renovable	Jamaica	En elaboración	Suministro de Energía	Ministerio de Aguas, Tierras, Medio Ambiente y Cambio Climático Ministerio de Ciencia, Tecnología, Energía y Minas	OLADE	ND	ND	ND	OLADE

Fuente: NAMA Database-Ecofys y elaboración propia.

(*) Financiamiento otorgado para la etapa de diseño o implementación de las NAMA.

Como se puede observar, no existe información detallada de estas NAMA en reportes oficiales, por lo que para obtener mayor información sobre ellas se ha procedido a realizar entrevistas, lo cual se detalla en el Capítulo 3.



Capítulo 3

Interacción con los actores involucrados en las NAMA en América Latina y El Caribe

Con el fin de recabar mayor información acerca de las NAMA y obtener los datos actualizados, se ha realizado una serie de entrevistas a los actores que lideran la elaboración de las NAMA en los países de América Latina y El Caribe (ALC), recolectando información acerca de veintiún NAMA en funcionamiento. Estas entrevistas se realizaron por medio de llamadas telefónicas a los diversos actores durante los días previos a la COP 20 realizada en Lima y en el mismo evento. Las personas entrevistadas fueron las siguientes:

Cuadro N° 5: Relación de entrevistas realizadas

Nombre	País	Institución
Angelo Sartori Ruilova	Chile	CONAF
Donatella Fuccaro	Chile	Ilustre Municipalidad de Santiago
Jorge Wolpert	México	SEDATU
William Alpizar	Costa Rica	Ministerio de Ambiente y Energía
Moisés Álvarez	República Dominicana	Consejo Nacional para el Cambio Climático y MDL
Cristian Porras	Ecuador	Fomento de Capacidades para la Mitigación del Cambio Climático en el Ecuador
Iván Relova	Cuba	Cuba Energía

Fuente: Elaboración propia

Para los casos de las NAMA de Perú y Uruguay se ha tomado como referencia la presentación realizada por dichos países en el «Side Event NAMA DAY», en el marco de la COP 20, el cual se describirá con mayor detalle más adelante. Finalmente, podemos decir que toda la información brindada por ellos puede resumirse de la siguiente manera:

- a. NAMA Zona Verde (Chile):** Reducción de emisiones de GEI mediante el reemplazo del 15% de la flota de taxis básicos (en total 3.525 taxis reemplazados por taxis eléctricos) y el 15% de la flota de buses del Transantiago (en total 975 buses reemplazados por buses eléctricos) lo cual estima una reducción de 1.430.791 tCO₂ en 10 años.
- El Banco Interamericano de Desarrollo (BID) financió la actualización de la NAMA y actualmente Chile se encuentra en conversaciones con el Banco de Desarrollo de América Latina (CAF) para financiar la implementación de la NAMA, quienes se encuentran muy interesados por la integralidad que presenta la institución.
 - Por parte del gobierno, el Ministerio del Medio Ambiente de Chile viene apoyando con incentivos para el uso de movilidad eléctrica, diseñando



estrategias para motivar el uso de estos vehículos en el público en general.

- La participación del sector privado en esta NAMA está dada por la Distribuidora de Energía en Chile (CHILECTRA) quienes ya han donado cinco cargadores eléctricos para vehículos. Además las empresas de taxis privadas han mostrado su interés en participar.
- La NAMA ha sido recibida con bastante entusiasmo por parte de los sectores involucrados, sin embargo, existe una barrera aún en el diseño del desembolso de fondos a los miembros de la Confederación de Taxis de Chile (CONFENATACH) con quienes se va a trabajar, debido a que existen dudas de cómo se dará este financiamiento: cuánto debe ser la contrapartida, qué tipo de crédito se otorgará, etc. para la adquisición de vehículos eléctricos.

b. NAMA Estrategia Nacional Forestal y Cambio Climático (Chile):

Contribución del Ministerio de Agricultura a través de la Cooperación Nacional Forestal – CONAF, se encuentra desarrollando la ENBCC para potenciar el rol de los bosques en la mitigación de los GEI. Una de las medidas va encaminado a la incorporación de iniciativas forestales a los Mercados de Carbono, transando certificados de reducción de emisiones generados a través de proyectos forestales, medidas de eficiencia energética y uso de energías renovable.

- La NAMA se enmarca en un plan mayor que es la Estrategia Nacional de Cambio Climático y Recursos Vegetacionales (ENCCRV), por lo tanto se alinea con otras fuentes de financiamiento, tanto nacional como internacional, que posee Chile. Además, se cuenta con un financiamiento de US\$ 2 millones para la elaboración de la NAMA por parte del gobierno suizo a través de COSUDE. Sin embargo, existe una inversión que aún no se ha cubierto para la implementación (la cual bordea los US\$ 350 millones) para los programas de reducción de emisiones: reducir la deforestación y degradación de bosques y aumentar la forestación y la recuperación de bosques nativos.
- La NAMA fue diseñada en conjunto entre el Ministerio de Agricultura y el Ministerio del Medio Ambiente y mediante la Cancillería Chilena se difundió la NAMA en diversas embajadas de países con compromisos de reducción de emisiones de GEI. Fue así que se logró el interés del gobierno suizo. Además, se están elaborando instrumentos de fomento nacional para poder direccionar financiamiento para esta NAMA y se está aplicando para conseguir financiamiento de Cooperación Multilateral y Bilateral, además del Fondo de Carbono.
- La legislación chilena no contempla en su integridad elementos de mitigación y adaptación al Cambio Climático, por lo tanto, quedan a la libre interpretación algunas funciones de la propia Ley Orgánica Pública chilena para implementarlas correctamente en el marco de la NAMA.
- La participación del sector privado se da con los propietarios de las plantaciones forestales y de los usuarios del bosque nativo a quienes aún se tiene que concientizar sobre estas actividades para que se involucren



de manera sostenible en el tiempo. Eso se lograría demostrándoles que existe una rentabilidad en este rubro que es adicional a la que ya tienen con sus actividades convencionales.

- El estar enmarcado en la ENCCRV le da el marco a esta NAMA de manera puntual, por lo que tiene una dinámica de participación integral con distintas mesas de nivel de autoridades como nivel técnico, comunidades, regiones, donde se discuten diversos avances y diseños de la estrategia para que, efectivamente, tanto la implementación como la etapa de pago por resultados que se pueda generar en algún momento sean bien conocidas por todos y se realicen los trabajos de campo y sean aceptados por todos. Sin embargo, queda aún por difundir en un lenguaje sencillo estos nuevos conceptos y tecnologías a implementar, así como tener mucho cuidado con la duplicidad de actividades.

c. NAMA en el Sector de la Ganadería Ecológica Competitiva (Costa Rica)

- La elaboración de la estrategia se elaboró con apoyo de cooperación danesa, sin embargo, se está esperando culminar con la estrategia para solicitar un financiamiento para su implementación.
- Existe participación del Ministerio de Ambiente, Energía y Mares y el Ministerio de Agricultura y Ganadería, además de la academia para la elaboración de dicha estrategia.
- Se encuentran en proceso de concientización a los ganaderos para demostrar que se va a mejorar la rentabilidad, ya que sólo así podrían estar interesados en formar parte de esta NAMA.
- En un inicio no se tenía a los sectores muy organizados como es el caso de la NAMA Café que se explica en el punto «e», por lo que, a la fecha, se viene desarrollando, primeramente, la estrategia para poder eliminar esta barrera. Sin embargo, se está trabajando con la Corporación de Fomento Ganadero (CORFOGA), que agrupa básicamente a los productores de carne y la Cámara de Lecheros.

d. NAMA Vivienda Baja en Carbono (Costa Rica): Reducir el consumo y generación de residuos; sustituyendo materiales de alto factor de emisión de CO₂ por materiales que secuestran emisiones (madera); reducir el factor de emisión y el carbón incorporado en el material utilizado mediante la promoción de materiales ambientalmente preferibles; reducir el consumo de energía en la construcción mediante el diseño bioclimático de las edificaciones, mejorar el tratamiento de aguas residuales y planificar ciudades multifuncionales compactas con la planificación urbana y la infraestructura verde.

- Se ha venido trabajando con el Ministerio de Ambiente, Energía y Mares, así como el Ministerio de Transporte para poder articular esta NAMA. Ven esta NAMA como un tema muy ambicioso pero van por buen camino.
- Esta NAMA va más allá de las construcciones sostenibles ya que alberga la idea de centralizar todos los centros de trabajo, hospitales, educación, entre otros, en un espacio geográfico central para que la movilización

dentro de él sea menor y de modo sostenible. La participación del sector privado en esta NAMA está dado por parte de las empresas constructoras y las de transporte masivo, que comunicarán centros y zonas residenciales.

- Hace falta estimular políticas de ordenamiento territorial de desarrollo urbano más intensivo que haga más rentable ciertas opciones de transporte para que estos actores se involucren de manera sostenible e interesada en esta NAMA.

e. NAMA en el Sector Café (Costa Rica): Reducción de las emisiones de GEI del sector agrícola hasta en un 15% a través de la implementación de tecnologías de mitigación de GEI en la producción y procesamiento del café mediante: aumento de la cobertura de árboles en las fincas cafetaleras en aproximadamente un 50%, uso de fertilizantes inteligentes y uso de tecnologías de ahorro de energía en el procesamiento del café.

- El NAMA Facility otorgó el financiamiento de 8 millones de euros a esta NAMA, debido a que observó bastante integración entre los actores competentes, como es la participación del Instituto del Café (ICAFFE). La Mesa NAMA Café cuenta con la participación de la ONG Fundeser, que se encarga de la administración de fondos para agilizar los desembolsos. El BID/FOMIN se encuentra financiando US\$ 1.5 millones para la eliminación de barreras de introducción de nuevas tecnologías entre los cafetaleros.
- El Ministerio de Ambiente, Energía y Mares propuso la idea de la NAMA y se formó la Mesa NAMA Café conformada por el ICAFFE, las universidades, academia, institutos, el Ministerio de Agricultura, el Ministerio de Ambiente, Energía y Mares y la ONG Fundeser. Asimismo, la NAMA en total tiene un costo de US\$ 60 millones, de los cuales el gobierno, mediante fideicomisos, aporta el 80%, mientras que el 20% restante es parte de cooperación internacional. Esta contrapartida asegura la sostenibilidad de la NAMA para los financiadores internacionales.
- La participación del sector privado se da principalmente por la banca privada que forma parte de ICAFFE, ya que el sector cafetalero en Costa Rica es el principal negocio para los créditos que otorgan los bancos, y, por lo cual, están bien interesados en participar de esta NAMA. Además, los cafetaleros, tanto los productores como los beneficiadores, están incluidos dentro de la Mesa NAMA Café.
- Desde el inicio participaron los gremios representantes de las cooperativas de café (proceso de producción y beneficiado del café es mediante cooperativas). El ICAFFE es una organización cuya junta directiva está conformada por representantes de los productores, representantes de los industrializadores, representantes de la banca y representantes del gobierno.



- f. NAMA en Residuos Sólidos Ordinarios (Costa Rica):** Reducción de emisiones de GEI mediante: captura de gas metano y la destrucción en los tres principales rellenos sanitarios, valorización (reciclaje) de los materiales secos, tales como plásticos, papel / cartón, metales y vidrio, mediante el compostaje y biodigestión de residuos orgánicos y mediante la evaluación y aplicación de tecnologías avanzadas para la gestión de los residuos sólidos y el uso de energía.
- La NAMA aún está en diseño y muy poco elaborada, pero en camino.
 - El Ministerio del Ambiente viene trabajando, en conjunto con el Ministerio de Salud, para la articulación de esta NAMA.
 - La gobernanza con las municipalidades es muy complicada, lo que dificulta el financiamiento.
 - Debido a la barrera de la gobernanza, se está trabajando la idea de generación de energía a partir de biomasa de residuos agrícolas, básicamente de residuos de caña, pero se encuentran en fase de crear las redes de trabajo con las organizaciones relevantes, que son: la compañía de energía que compraría la energía (es un monopolio) y los productores de los residuos que son, principalmente, los productores de caña. Aún no se plantea la estrategia para involucrarlos.
- g. NAMA Urbano (México):** Coordina acciones entre actores públicos y privados para crear marcos técnicos, normativos y financieros para desarrollo de espacios urbanos bajos en emisiones de GEI proporcionando además préstamos blandos para inversiones en eficiencia energética, creación de normas y paquetes tecnológicos, creación de capacidades para personal técnico y facilitar la instalación, operación y mantenimiento de las tecnologías de baja emisión de carbono, certificación de personal para verificar el proceso de construcción y realice los inventarios de emisiones.
- El innovar y ser uno de los primeros países en mostrar sus diversas NAMA, les ha servido de ayuda para conseguir un rápido financiamiento de parte de la cooperación internacional, como por ejemplo, la GIZ, que apoyaron con 2 millones de euros la etapa de elaboración de la NAMA y el NAMA Facility con 14 millones de euros para su implementación.
- h. NAMA para Nuevas Construcciones Residenciales (México):** La NAMA mitiga las emisiones de GEI en el sector residencial, mejorando la eficiencia de combustibles fósiles, del agua y de la electricidad. Estas mejoras se consiguen a través de la implementación de las tecnologías ecológicas, la proliferación de las mejoras en el diseño y la utilización de materiales de construcción eficientes.
- Se plantea que será otorgado por un subsidio y también a través de un crédito a través del FONAVIP, un gran banco hipotecario que existe para extenderle créditos a los trabajadores, de modo que puedan construir su vivienda, a través de lo cual aportan el 5% de su salario a una subcuenta asociada a cada trabajador como un ahorro para la obtención de su vivienda.
 - Para esta NAMA y la del NAMA Urbano, en México, el gobierno ha venido sensibilizando a la industria, a los constructores, a los



desarrolladores de viviendas y a las organizaciones crediticias para demostrar que esa inversión desencadenará beneficios que se verán reflejados en los ahorros paulatinos. Asimismo, también el gobierno está colocando restricciones para otorgar los créditos únicamente a solicitudes que cuenten con un componente de mitigación dentro de su plan.

- El sector privado, que principalmente son las empresas constructoras, creen que el añadirle el componente de mitigación o adaptación a su negocio le va a desencadenar costos adicionales y no van a obtener beneficios.
- Los sectores involucrados vienen siendo sensibilizados para su introducción de manera voluntaria en la NAMA.

i. NAMA para Reequipamiento Sostenible de Viviendas (México): Esta NAMA busca maximizar la eficiencia del agua, la electricidad y el consumo de gas en las viviendas existentes.

- Se han colocado requerimientos de nuevas tecnologías en los reglamentos y normas del gobierno, lo cual ha hecho que exista interés por parte de las empresas en desarrollar estas tecnologías, aparte de que, gracias a la globalización, esta transferencia de tecnología no es muy compleja.
- Los proveedores de electrodomésticos están muy involucrados en la NAMA y se muestran muy dispuestos a colaborar con la implementación de las viviendas con electrodomésticos eficientes.
- Los principales actores, que son los proveedores, son los más interesados en la NAMA. Sobre los pobladores existe una campaña fuerte de sensibilización.
- Actualmente, se encuentra en búsqueda de financiamiento.

j. NAMA en Residuos Sólidos (Perú): El programa analizará la capacidad de las opciones de gestión de residuos existentes para disminuir las emisiones, así como los obstáculos técnicos, financieros y de otra índole a un uso más sostenible. También abordará la posibilidad de aumentar la participación del sector privado y el establecimiento de un programa de NAMA financiable.

- NAMA desarrollada con el apoyo financiero de países nórdicos, cooperación técnica durante dos años (2013-2015).
- El diseño viene siendo trabajado por el Ministerio del Ambiente, incluyendo su sistema de MRV, estructura financiera e institucionalidad.
- Existe una voluntad del gobierno que muestra su apoyo mediante las siguientes acciones:
 - i. Compromiso internacional de reducir emisiones GEI en el sector residuos.
 - ii. Compromiso nacional de manejar y dar disposición final adecuada al 100% de los residuos sólidos no reaprovechables del ámbito municipal.
 - iii. Promulgación de la Nueva Ley General de Residuos Sólidos.



iv. Modificación del Plan Nacional de Gestión de Residuos Sólidos.

k. NAMA en Ladrilleras (Perú): Reducir emisiones mediante la implementación de mejoras tecnológicas y de buenas prácticas que desencadenen un proceso eficiente de elaboración de los ladrillos incluyendo eficiencia energética para generar ahorro de energía.

- En proceso de diseño gracias al apoyo de Programa de las Naciones Unidas para el Desarrollo (PNUD), sin embargo, aún no se ha identificado financiamiento para su implementación.
- Esta NAMA cuenta con el apoyo del gobierno en cuanto al desarrollo de normas y estándares para el subsector ladrilleras. Desarrolla actividades en reforzamiento de capacidades estatales y municipales para el seguimiento del desempeño de las acciones implementadas.
- La participación del sector privado está dado por las empresas del rubro, los gremios de la construcción, las entidades financieras y los proveedores tecnológicos. Sin embargo, falta establecer los mecanismos que promuevan y faciliten la inversión privada, visibilizando los incentivos y el enlace con líneas de apoyo financiero.
- Existe una transferencia de conocimientos y experiencia relacionada con eficiencia energética en la producción de ladrillos, información confiable y soporte a los actores de la cadena de valor (sector empresarial, proveedores tecnológicos, entidades financieras). Existe una mesa técnica que comparte e incrementa su conocimiento en el tema entre el gobierno central, el sector público y privado, las agencias de cooperación internacional, el sector académicos, entre otros.

l. NAMA en Cemento/Co-Procesamiento con Residuos Sólidos (República Dominicana): Habilitar el uso de residuos para el co-procesamiento en el sector del cemento para mejorar la eliminación de residuos y reducir las emisiones de la producción de cemento.

- Elaborada a partir de la Estrategia de Desarrollo Bajo en Carbono que fue apoyada por el gobierno alemán con 4.5 millones de euros y se encuentra en fase de implementación.
- El gobierno está apoyando en la eliminación de barreras legales obsoletas, por ejemplo, el Ministerio del Ambiente ha elaborado un reglamento para neumáticos usados y existe también una Ley de Residuos Sólidos.
- El sector privado está presente en la NAMA a través de las cementeras, que están muy interesadas en que se implemente esta NAMA porque significaría un ahorro importante al sustituir el combustible en sus procesos.
- Es un proceso muy participativo que involucra al sector cementero, la Asociación Dominicana de la Industria del Cemento (ADOCCEM), los municipios a través de la Liga Municipal Dominicana y a la Federación Dominicana de Municipios, que van a suministrar los residuos sólidos.



Incluso se está viendo de integrar a los recicladores informales en este proceso.

m. NAMA en Turismo y Residuos (República Dominicana): lograr la amplia adopción de tecnologías alternativas de energía y gestión de residuos en el sector turístico.

- Ideada a partir de la Estrategia de Desarrollo Bajo en Carbono. A pesar de ser la primera NAMA en registrarse, no ha recibido financiamiento a la fecha.
- El gobierno emitió un decreto para aportar US\$ 1 millón al Fondo de Carbono que tiene República Dominicana, sin embargo, esta es una de las barreras, ya que aún no entra en marcha ese decreto. El dinero del gobierno aportaría bastante para el financiamiento de las NAMA, para reflotarlas y eliminar barreras, haciéndolas más atractivas y se capte el financiamiento necesario para su implementación.
- En el sector turismo, los operadores están involucrados positivamente en la NAMA, ya que la energía eléctrica es una de las más caras que existen pues el 80% de dicha energía proviene de fuentes fósiles y el sector turismo utiliza gran cantidad de energía para sus actividades, principalmente, para el aire acondicionado; de esta manera, la sustitución de una fuente de energía significaría un gran ahorro para ellos.

n. NAMA en Eficiencia Energética en el Sector Público (República Dominicana): Las acciones de mitigación proviene de la aplicación de medidas de eficiencia energética identificadas por las auditorías realizadas por la Comisión Nacional de Energía (CNE, siglas españolas) u otra organización relevante validado por la CNE, como parte del Programa de Eficiencia Energética. El gobierno de República Dominicana entiende que las acciones para el desarrollo económico y la protección del clima puede ser complementaria y sinérgica, y ha establecido la base firme de una estrategia concreta para guiar los esfuerzos que se integran a las acciones que permitan alcanzar el desarrollo sostenible.

- No es la NAMA más atractiva para ser financiada en República Dominicana pues requiere una gran cantidad de inversión y demuestra poca reducción de emisiones.
- Al igual que la NAMA de Turismo y Residuos, el dinero que sería destinado al FONCAR ayudaría a replantear esta NAMA y volverla más atractiva.

o. NAMA en Granjas Porcinas (República Dominicana): El propósito de esta NAMA es reducir las emisiones de gases de efecto invernadero a través de la digestión anaeróbica en las granjas de cerdos dominicanos implementando 1750 biodigestores.



- Concebida en un inicio como un PoA-MDL. Al igual que la NAMA de Turismo y Residuos aún no ha recibido financiamiento para su implementación.
- Existe un Fondo Ambiental pero que no contempla actividades de reducción de emisiones de GEI, por lo que para esta NAMA se requiere también el apoyo del FONCAR.

p. NAMA de Promoción de Energía Solar Térmica en Viviendas Nuevas (Uruguay): Financiar la instalación de 4.000 colectores solares para el Plan Solar Uruguay.

- El mecanismo financiero propuesto consiste en que la mitad del costo del equipo y la instalación serán abordados por el Estado a través de un subsidio, mientras que la otra mitad será pagada por el sistema de vivienda a través de un mecanismo innovador que incluye la factura de electricidad.
- Existe un mandato del Ministerio de Vivienda y Medio Ambiente que hace necesario que las viviendas nuevas con apoyo del Estado contengan las previsiones constructivas necesarias para instalar colectores solares, haciendo que las instalaciones de la tecnología sean mucho más eficientes.
- La NAMA beneficiará al sector privado incrementando la demanda de colectores solares, generando nuevos puestos de trabajo relacionados a la tecnología, y nuevas inversiones en equipos e infraestructura.
- Existe una articulación interinstitucional intensa y fluida, en particular, entre los hacedores de política energética, la empresa pública de energía y el Ministerio de Vivienda y Medio Ambiente.

q. NAMA del Programa de Eficiencia Energética para la Cocción por Inducción en Sustitución del Gas Licuado de Petróleo (GLP), en el Sector Residencial (PCE) (Ecuador): Sustituir el uso de 3 millones de cocinas a gas por cocinas eléctricas de inducción y sustituir el uso de calefactores a gas por sistemas eléctricos de calentamiento de agua.

- En 2012 el BID elaboró un estudio en Ecuador para identificar las NAMA potenciales; para aquel entonces Ecuador ya contaba con ideas de NAMA como proyectos que contemplaban co-beneficios en cuanto a reducción de emisiones de GEI, y, como producto de este estudio, se obtuvo una tabla de iniciativas prioritarias que debe implementar el Estado.
- El Ministerio del Ambiente, bajo su propio criterio, determinó que tres proyectos deberían ser los prioritarios para el desarrollo de las NAMA, los cuales se vienen desarrollando mediante el programa denominado «Fomento de Capacidades para la Mitigación del Cambio Climático en Ecuador». Producto de esta priorización se desarrolla esta y las dos NAMA subsiguientes.
- Esta NAMA tiene como contrapartida al Ministerio de Electricidad y Energías Renovables.



- Tiene un enfoque de reemplazo del GLP por hidroenergía a través de un proyecto de cocinas de inducción que utilicen energía eléctrica, con lo cual se desplazaría el GLP de Ecuador, donde es altamente subsidiado.
 - Esta NAMA aplicó al NAMA Facility, empero, aunque no fue priorizada, se encuentra buscando el financiamiento en otras fuentes.
 - Desarrolla un trabajo oportuno y adecuado con los actores involucrados, que vienen colaborando con el desarrollo de las NAMA, tanto para esta como para las dos siguientes, sin embargo, se puede observar cierto escepticismo debido a la experiencia de trabajo con varios proyectos MDL que no han dado los resultados esperados; pero, aún así, existe el apoyo y trabajo en conjunto.
- r. NAMA en el Desarrollo de Centrales Hidroeléctricas (DCH) (Ecuador):** Implementar mayores centrales hidroeléctricas con el fin de incrementar el porcentaje de energía renovable en su matriz energética.
- Esta NAMA tiene como contrapartida al Ministerio de Electricidad y Energías Renovables.
 - Ecuador desarrolla cada año la planificación de su desarrollo hidroeléctrico para tener una matriz energética con 90% de energía hidroeléctrica y un 10% de aporte termoeléctrico y otras energías renovables no convencionales.
- s. NAMA para la Optimización de la Generación Eléctrica y Eficiencia Energética OGE&EE de PetroAmazonas EP (Ecuador):** Uso del gas asociado al petróleo, un subproducto que emerge junto con la producción petrolera, para generación eléctrica luego de un complejo proceso de tratamiento de este carburante.
- Esta NAMA tiene como contrapartida a la empresa de explotación petrolera del país que es PetroAmazonas.
 - Tiene eficiencia energética en el aprovechamiento de quema de gas para generación eléctrica en las instalaciones de esta empresa petrolera en el país en la región amazónica, de modo que se desplace el uso del diésel para la generación eléctrica utilizando el gas.
 - Se encuentra en proceso de elaboración el NAMA Note, que estará listo para fines de enero, elaborados con los recursos propios del programa «Fomento de Capacidades para la Mitigación del Cambio Climático en el Ecuador».
- t. NAMA en el Sector Porcinos (Cuba):** Captura, recolección y uso de biogás producto del tratamiento de los residuos de las granjas de porcinos.
- El PNUD regional de Panamá y OLADE han financiado la idea de esta NAMA en el sector porcino, es decir, han contribuido financieramente para el levantamiento de la información para la elaboración del concepto de la NAMA.
 - Por parte del gobierno, el Ministerio de Ciencia Tecnología y Medio Ambiente ha apoyado la formulación y sensibilización de la idea en el

sector con el apoyo del Ministerio de Agricultura para el levantamiento del potencial de mitigación en el país.

- La participación del sector cooperativo campesino juega un rol fundamental en la producción de carne porcina para el país ya que el mayor potencial de granjas porcinas se encuentra en dicho sector.
- La NAMA ha sido recibida con buena aceptación por parte de los sectores involucrados: el Instituto de Investigaciones Porcinas con su Centro de Desarrollo de Biogás y el Grupo Nacional Porcino del Ministerio de Agricultura, el cual rige la política del sector, y todos estos han interactuado con los demás sectores involucrados en las acciones de mitigación para la implementación de un programa de sistemas de tratamiento de residuales basado en biodigestores de diferentes tecnologías, según el tamaño de las granjas clasificadas.

u. NAMA en el Sector Transporte (Cuba). Implementar un sistema integrado de Transporte incluyendo ómnibuses, bicicletas, combustibles alternativos menos emisores de GEI.

- Mediante la Sexta Reposición del GEF (o GEF-6) para el Cambio Climático, se ha identificado la idea de esta NAMA en el sector transporte para una ciudad tan grande como lo es La Habana; para ello, se ha recibido contribuciones de varias instituciones del Reino Unido para trabajar la idea de NAMA para la ciudad.
- Por parte del gobierno, el Ministerio de Ciencia, Tecnología y Medio Ambiente ha apoyado la formulación y sensibilización de la idea de la NAMA en el sector transporte con el apoyo del Ministerio de Transporte mediante el Centro de investigaciones del transporte y la Dirección de Ciencia y Tecnología, del propio Ministerio, para una propuesta de Concepto NAMA que comprende sistema BRT, cambio modal, sustitución de combustibles y transporte no motorizado y peatonal, que conllevan a una reducción de GEI.
- La participación del sector privado en esta actividad no tiene un rol fundamental, ya que la propuesta va dirigida al transporte público que es prioritario para el movimiento masivo de la capital.
- La idea de la NAMA ha sido recibida con buena aceptación por parte de sectores involucrados (transporte, construcción, medioambiente, tránsito, economía y planificación, entre otros); el Instituto de Investigaciones del Transporte ha realizado un levantamiento para conformar la idea de un proyecto integral para la implementación de un Sistema Rápido Masivo Sostenible para el transporte urbano de la ciudad, que garantice la movilidad de la población con rapidez y eficiencia y de esa manera se incremente la calidad de vida de la población y el cuidado del medioambiente. Los objetivos que abarca el programa son:
 - i. Implementar un sistema de Transporte Rápido por Ómnibus (BRT, por sus siglas en inglés).



- ii. Integrar un proyecto de transporte no motorizado (bicicletas y peatones) con el BRT, el cual funcione como sistema alimentador del BRT.
- iii. Promover el uso de un tipo de combustibles alternativos para el transporte urbano, incluyendo las tecnologías más convenientes al respecto.
- iv. Reducción de GEI, implementando un laboratorio que pueda asegurar el control, seguimiento de las emisiones de GEI producidas por el transporte.



Capítulo 4

Las NAMA en la COP 20 en Lima

En el marco de la COP 20 (realizada entre el 1 y el 12 de diciembre en Lima), se realizó un evento denominado «Side Event NAMA Day», el cual fue organizado por la CMNUCC en colaboración con el Ministerio Federal Alemán de Medio Ambiente, Conservación de la Naturaleza, Construcción y Seguridad Nuclear (BMUB, por sus siglas en alemán), el Departamento de Energía y Cambio Climático del Reino Unido (DECC, por sus siglas en inglés), la GIZ, el Programa de las Naciones Unidas para el Medio Ambiente (UNEP DTU), el PNUD y el Ministerio del Ambiente de Perú. El objetivo fue mostrar cómo las NAMA están contribuyendo a lograr un desarrollo bajo en emisiones de GEI de los países. El evento de tres horas se organizó en una serie de paneles de discusión y concluyó con una exposición para permitir interacciones con una amplia gama de organizaciones internacionales públicas y privadas involucradas en las NAMA de diversos países. Dentro de esta sesión se obtuvieron los siguientes comentarios:

- Las NAMA son un instrumento para contribuir al desarrollo nacional sostenible y alcanzar la meta de reducción al 2020.
- El proceso NAMA implica reconocer una responsabilidad hacia la reducción de emisiones; requiere una planificación integral para asegurar un futuro sostenible; proporciona una oportunidad para construir la confianza de que los países pueden cambiar y mejorar su comportamiento; permite un enfoque de planificación multinivel multisectorial, de múltiples partes interesadas, que fomenta el buen gobierno; y proporciona un mecanismo para pasar de las palabras a los hechos.
- Las NAMA deben basarse en las circunstancias nacionales e integrarse en el proceso general de planificación del desarrollo.
- El proceso de la lucha contra el Cambio Climático debe ser considerado como un problema de desarrollo en los países para que, de este modo, las NAMA sean vinculadas a los planes de desarrollo como si se tratara de un programa de construcción de infraestructura. Es decir, este proceso debe ser prioritario para el país.
- La construcción de capacidades a través del tiempo en diversas iniciativas de mitigación como el MDL o los PoA-MDL, además de la variedad de tecnologías implementadas para estos fines, demuestra una gran capacidad instalada en los países, lo cual hace mucho más fácil el desarrollo de las NAMA.
- En cuanto al debate sobre financiamiento para las NAMA, se obtuvieron las siguientes opiniones:
 - Banco KfW (KfW): Indicó los criterios para poder apoyar a una NAMA son: Que sea una NAMA sencilla; que utilice instrumentos probados; que incluya las garantías de acciones y préstamos en condiciones favorables; que supere la correlación entre la ambición y el financiamiento disponible; que asegure la

- participación de sectores con capacidad requerida y que involucre a los bancos de desarrollo desde el inicio del proceso.
 - Climate Change Capital (CCC): Señaló que el enfoque en el financiamiento del proyecto, que ha sido la principal modalidad de financiación para proyectos climáticos en el pasado, no atrae el «pilar» del sistema financiero, en particular bonos y financiamiento de capital. Recalcó que «las estructuras empresariales a escala industrial» son necesarias para captar al máximo el potencial de las energías renovables mediante la inclusión de las plantas más pequeñas con el fin de crear un negocio a gran escala que sea replicable. Señaló, además, que las economías emergentes presentan una oportunidad única, ya que los inversores están dispuestos a renunciar a beneficios inmediatos y «apostar por el largo plazo».
 - Banco Africano de Desarrollo (BAfD): Apoya a los países africanos para acceder al financiamiento y fortalecimiento de sus capacidades institucionales y humanas para la preparación y aplicación de las NAMA. Destacó proyectos en el marco del Fondo de Inversión Climática del Banco Africano de Desarrollo centrado en la energía renovable y la eficiencia energética.
 - Banco de Desarrollo de América Latina (CAF): Apoya en el desarrollo de las NAMA a los países que demuestren un compromiso de las partes interesadas para el desarrollo de las mismas, siendo este factor clave para otorgar el apoyo al país.
- El NAMA Facility destacó los proyectos en curso financiados por la iniciativa de Alemania y el Reino Unido, y señaló que es la primera en proporcionar fondos destinados a la aplicación de NAMA. Indicó que el Fondo ha definido criterios claros de selección basado en la ambición de mitigación, desarrollo de co-beneficios sostenibles y el potencial para impulsar el cambio transformacional.
- Ecuador destacó los programas de reducción de emisiones del país, señalando que la NAMA se ha financiado con cargo a los recursos propios, así como el aprovechamiento de la financiación en condiciones favorables.
- CONAF Chile: Describió su NAMA forestal del país, que tiene como objetivo reducir las emisiones relacionadas con la degradación y regeneración de los bosques nativos. Indicaron que el Estado está explorando mecanismos de incentivos para los pequeños agricultores para conservar los recursos forestales, así como impulsar la cooperación Sur-Sur con los países vecinos.
- Perú describió su NAMA en transporte sostenible, señalando que ha desarrollado una matriz de políticas para lograr el objetivo de un sistema de transporte urbano integrado. Esta NAMA ha sido pre-seleccionada para ser financiada por el NAMA Facility en la segunda convocatoria.
- Uruguay indicó que la Entidad Coordinadora Nacional, liderada por el Ministerio de Medio Ambiente, reunió a todos los sectores clave para desarrollar un plan nacional para responder al Cambio Climático. Los sectores de energía,



transporte y agricultura son áreas prioritarias para el desarrollo de las NAMA en Uruguay.

- Costa Rica presentó su NAMA en ganadería, señalando que tiene como objetivo contribuir a un sector ganadero más eco-competitivo. Destacaron algunos de los co-beneficios esperados de la integración de la NAMA con un enfoque más amplio sobre la agricultura climáticamente inteligente, incluyendo la conservación y restauración de suelos, mejora de los servicios de los ecosistemas y la mejora de los ingresos de los agricultores.



Capítulo 5

Barreras identificadas

De acuerdo a lo mencionado en los capítulos anteriores, cabe resaltar que hace falta una promoción del registro de las NAMA debido a que el registro oficial existente en la web de la UNFCCC posee características que conllevan a no ser el más adecuado. De acuerdo a las características de la Plataforma de Registro de la UNFCCC, las iniciativas dadas a nivel internacional por diversos países demuestran las siguientes características citadas a modo de barreras.

- Plataforma poco amigable y complejidad del sistema para completar la información, así como dificultad para contar con una persona de contacto que responda de manera inmediata a las dudas del usuario, sumado a la dificultad para introducir la información solicitada.
- «La participación en el registro es voluntario», por lo cual existen diversas iniciativas a nivel mundial que no están siendo registradas en la plataforma de la UNFCCC; en este sentido, no se puede realizar un diagnóstico de la situación actual de las NAMA y solo se puede tomar en cuenta las NAMA que voluntariamente han sido registradas en esta plataforma.
- La participación en el registro no es una garantía de que el apoyo solicitado será proporcionado.
- Si bien el registro muestra las iniciativas voluntarias, no se puede asegurar que las acciones propuestas o sus resultados, sean reales, ya que la decisión sobre qué tipo de información se debe subir y el nivel de precisión, están enteramente en las manos de los usuarios de cada país.

Asimismo, dentro de la experiencia brindada por los actores, mostrada a lo largo del documento, se puede inferir que las debilidades en los países para el desarrollo de las mismas se deben principalmente a:

- En algunos casos, el sector privado es un actor difícil de integrar a las NAMA, ya que muchos observan que las inversiones que deben realizar para incluir actividades de reducción de emisiones de GEI en sus planes no conllevan a un ahorro o a un retorno deseado.
- Debido a que las NAMA, y, sobre todo en algunos casos, las tecnologías a implementar, son relativamente nuevas, existe un desconocimiento por parte de muchos actores principales, lo que conlleva a un largo esfuerzo en el proceso de difusión y sensibilización.
- Aún existen vacíos sobre la estrategia adecuada para realizar el desembolso del financiamiento que se otorga para la implementación. ¿Podrá ser una donación? ¿Podrá ser un crédito? ¿Podrá ser un aporte mixto?
- Existe dificultad para cumplir los requisitos que solicitan las fuentes de financiamiento para las NAMA, los que además ya cuentan con una gran cantidad de solicitudes.



- En algunos casos, la legislación nacional no ayuda a implementar las actividades principales para la reducción de GEI por la falta de integración entre los elementos de mitigación y adaptación al Cambio Climático dentro de las leyes, normas y reglamentos nacionales.
- Existe aún desconocimiento en el planteamiento de ideas de NAMA, existiendo casos en los que se han querido elaborar involucrando sectores que no se encuentran articulados o donde existen conflictos, para lo cual primero se debió elaborar una estrategia para organizarlos.
- Las NAMA que ya cuentan con financiamiento para su implementación requieren la presencia de una institución imparcial que pueda administrar el financiamiento otorgado por la cooperación internacional a fin de desarrollar un desembolso eficiente y eficaz.
- Las NAMA que requieren participación municipal atraviesan dificultades porque la gobernanza municipal suele ser muy débil en temas de Cambio Climático.
- Sumada a la falta de conciencia en los sectores, existe una ausencia en los requerimientos del Estado para trabajar con empresas que incluyan actividades de reducción de emisiones de GEI en sus operaciones.
- Existe una importante necesidad de contar con financiamiento interno por parte del Estado para actividades de reducción de GEI, como es en el caso de República Dominicana, que cuenta con un decreto para que el Estado otorgue US\$ 1 millón para el Fondo de Carbono Dominicano, pero que aún no se ha ejecutado, lo cual dificulta la eliminación de barreras de las NAMA para acceder a mayores financiamientos internacionales.
- En muchos casos, los financiamientos de cooperación internacional se otorgan únicamente a los países que demuestren contar con una capacidad considerable para colocar una contrapartida y garantizar la sostenibilidad de la inversión.
- Las NAMA que contemplan bajas reducciones de GEI y demandan una gran cantidad de financiamiento son las menos atractivas para obtenerlo de fuentes cooperantes.
- Además, hablando específicamente de los sectores donde se desarrollan las NAMA, se puede ver que, a la fecha, no existen intenciones de las NAMA en el sector forestal a excepción de Chile, debido a que el sector está también cubierto por otras iniciativas en el marco del programa de Reducción de Emisiones por Deforestación y Degradación de los Bosques (REDD+), sobre lo cual cada país ha ido desarrollando estrategias para aplicar a este mecanismo.
- Es pertinente resaltar la necesidad creciente de contar con el liderazgo de un alto nivel gubernamental y participación de un amplio grupo de actores de los sectores público y privado, ya que ambos son necesarios para el desarrollo integral de estrategias y políticas, las cuales permiten ampliar las posibilidades y otorgar incentivos para identificar y desarrollar diversas NAMA.



- Las cooperaciones internacionales, en su mayoría, prefieren financiar la fase de elaboración de la NAMA y no su implementación, puesto que este último requiere montos más altos de financiamiento.
- La ausencia de arreglos institucionales a nivel nacional es lo que define los roles y responsabilidades de cada actor competente, como por ejemplo, la definición de la autoridad nacional de la NAMA, la cual actualizará periódicamente el registro nacional de la misma, evaluará y hará el seguimiento correspondiente, así como promover el desarrollo de capacidades.
- Cabe señalar que las NAMA tienen altos co-beneficios que no son explicados apropiadamente a los tomadores de decisiones del sector público y privado, así como a la sociedad civil. Esto ayudaría a evitar errores y posteriores conflictos sociales.
- Asimismo, las NAMA contribuyen a cumplir con las INDC, que tienen como objetivo sumarse al esfuerzo global de reducir emisiones GEI y a la resiliencia ante el Cambio Climático.
- En algunos casos, se necesita financiamiento para estudios previos a su posterior implementación, tales como estudio de sensibilidad o de mercado, para conocer el potencial de rentabilidad.
- Para lograr la elaboración e implementación exitosa de una NAMA a nivel del sector público (gobierno nacional y sub nacional) se deben establecer herramientas amigables y compatibles a los sistemas de inversión pública.
- Las condiciones habilitantes que hay detrás de cada NAMA son, fundamentalmente, identificar y evaluar al momento de los establecer el monto real de la NAMA. Por ejemplo, el saneamiento físico-legal del suelo para un NAMA de forestación, reforestación o REDD+; otro caso es una NAMA de generación de electricidad, al incluir otro tipo de tecnología que reduce considerablemente los GEI pero, a cambio, debe existir mayores subsidios.



Capítulo 6

Oportunidades identificadas

6.1. Financiamiento

De acuerdo a las necesidades identificadas que podrían ocurrir para el desarrollo de las NAMA, se estima que se requiere apoyo financiero para el diseño de las mismas, su implementación (incluyendo construcción de capacidades, tanto institucionales como de capacidades técnicas y financieras, además del financiamiento para innovación tecnológica), y, finalmente, apoyo financiero para el MRV, resaltando que los beneficios producto de la implementación de las NAMA deben ser mayores a los costos mencionados anteriormente. Dentro de las oportunidades de financiamiento para el desarrollo de NAMA en ALC, se ha identificado las siguientes oportunidades:



Cuadro N° 6: Oportunidades de Financiamiento para las NAMA en ALC¹⁵

Fuente	Donante	Apoyo disponible para	Tipo de financiamiento	Sectores que aplican
Financiamiento de la Ayuda Oficial para el Desarrollo (ODA, por sus siglas en inglés) relacionada con el clima	Ministerio Federal de Cooperación Económica y Desarrollo de Alemania (BMZ) a través de la GIZ y KfW	Preparación de NAMA	Donación y préstamo	Suministro de Energía., Construcciones Residenciales y Comerciales., Agricultura, Gestión de Residuos, Transporte y su Infraestructura., Industria, Bosques
ODA de Medidas Contra el Cambio Climático	JICA	Preparación de NAMA	Préstamos y donaciones	Suministro de Energía., Construcciones Residenciales y Comerciales., Agricultura, Gestión de Residuos, Transporte y su Infraestructura., Industria, Bosques
International Climate Initiative (IKI)	Ministerio Federal de Medio Ambiente, Conservación de la Naturaleza y Seguridad Nuclear Alemán	Preparación de NAMA	Donación y préstamo	Suministro de Energía., Construcciones Residenciales y Comerciales., Agricultura, Gestión de Residuos, Transporte y su Infraestructura., Industria, Bosques
NAMA Facility	Ministerio Federal Alemán de Medio Ambiente, Conservación de la Naturaleza y Seguridad Nuclear (BMU) y el Departamento de Energía y Cambio Climático del Reino Unido (DECC)	Implementación de NAMA	Donación y préstamo (US\$ 83 millones)	Suministro de Energía., Construcciones Residenciales y Comerciales., Agricultura, Gestión de Residuos, Transporte y su Infraestructura., Industria, Bosques
Global Environment Facility (GEF) Trust Fund	El Banco Mundial actúa como Fiduciario del FMAM (administra, moviliza recursos para el Fondo y lo	Preparación e implementac	Donación	Suministro de Energía., Construcciones Residenciales y Comerciales., Agricultura, Gestión de Residuos, Transporte y su Infraestructura., Industria, Bosques

¹⁵ NAMA Registry-UNFCCC.


Fuente	Donante	Apoyo disponible para	Tipo de financiamiento	Sector es que aplican
	administra)	ión de NAMA		
Latin American Investment Facility	El Mecanismo de Inversión en América Latina (LAIF) es un mecanismo de financiamiento, donde las donaciones se mezclan con préstamos a través de instituciones financieras multilaterales públicas y/o bilaterales europeos de desarrollo y los bancos regionales de América Latina para apoyar la inversión en la región	Implementación de NAMA	Donación y préstamo	Distribución de energía y transporte incluyendo su infraestructura.
BID: Soporte para el diseño, desarrollo e implementación de NAMA en la región de ALC	BID	Preparación de NAMA	Donación, préstamo y garantías.	Suministro de Energía., Construcciones Residenciales y Comerciales., Agricultura, Gestión de Residuos, Transporte y su Infraestructura., Industria, Bosques
Plataforma Española para NAMA	Ministerio de Economía y Competitividad de España	Preparación de NAMA	Préstamos, garantías, acciones y financiamiento de carbono	Suministro de Energía., Construcciones Residenciales y Comerciales., Agricultura, Gestión de Residuos, Transporte y su Infraestructura., Industria, Bosques

Fuente: NAMA Registry-UNFCC.



Dentro de este análisis, según el informe de las NAMA¹⁶, hasta el 2014 se ha destinado un total de US\$ 1539.94 millones para el desarrollo de actividades que apoyan de alguna manera al desarrollo de NAMAs en diversas actividades:

- NAMA Facility: Apoyo financiero y técnico a los NAMA entre un rango de sectores, enfocando en la movilización de inversiones de capital para el cambio transformacional – US\$ 83 millones
- Fondo de Inversión para América Latina (LAIF): apoya proyectos de infraestructura de diferentes sectores y el desarrollo del sector privado – US\$ 160 millones
- UE-África Fondo Fiduciario para infraestructuras (ITF): fondo de recursos de donaciones proporcionados por la UE. Los recursos de donaciones se unen con préstamos de financiamiento a largo plazo de instituciones financieras de desarrollo seleccionados, ayudando a movilizar financiamiento de proyectos adicionales y crecimiento económico sostenible adoptado – US\$ 963 millones
- Fondo de Inversión para Países Vecinos(NIF) Cubre necesidades de inversión en Transporte, energía, medio ambiente y temas sociales (es decir, construcción de escuelas u hospitales) – US\$ 332 millones
- Apoyo a las actividades relacionadas con la Gestión de Bosques sostenibles: Austria Desarrollo de políticas nacionales y estrategias de mitigación y adaptación a los impactos de cambio climáticos en los bosques – US\$ 1.94 millones.

Un caso concreto, además de las oportunidades de financiamiento mencionadas en el cuadro anterior, es el caso de la Cooperación Nórdica de Financiación Ambiental (NEFCO, por sus siglas en inglés), que tienen criterios definidos para evaluar el financiamiento de las NAMA en los países de ALC, y son los siguientes¹⁷:

1. Coordinación de Políticas:
 - a. Liderazgo del funcionario del más alto nivel del sector.
 - b. Desarrollo de alianzas sólidas en el sector.
 - c. Mecanismos de coordinación disponibles.
 - d. Rol que desempeña para el funcionamiento del sector privado.
2. Vinculación nacional-local:
 - a. Constituida sobre la política sectorial existente, reforzando su alcance.
 - b. Vinculada claramente con la política nacional de desarrollo y de Cambio Climático.
 - c. Tiene potencial de escalamiento y replicabilidad.
3. Monitoreo, evaluación y rendición de cuentas:
 - a. Disponibilidad de información.

¹⁶ IRENA, 2014 Disponible en <http://mitigationpartnership.net/irena-2014-irena-handbook-renewable-energy-nationally-appropriate-mitigation-actions-namas>

¹⁷ *Financing NAMA. Contributing Country's Perspective. NEFCO/Global NAMA Financing Summit Copenhagen, May 15th 2013.*



- b. Línea de base creíble.
 - c. Indicadores claros y medibles.
 - d. Métricas de GEI y co-beneficios.
4. Barreras y financiamiento:
- a. Eliminación de barreras.
 - b. Calendario de financiamiento.
 - c. Catalizado de fondos a partir de acciones de donantes.
 - d. Costo financiero.
 - e. Desempeño financiero.

6.2. Innovación tecnológica

Como lo mencionado en el Capítulo 5, se evidencia una necesidad de transferencia e innovación tecnológica para el desarrollo de las NAMA; en este sentido, recurrimos a la «Visión General de la Hoja de Ruta de Bali», donde se establecen responsabilidades «comunes pero diferenciadas» de los países miembros de las Partes de la CMNUCC, donde se cita lo siguiente:

Países industrializados y economías en transición

- Adoptar políticas y medidas nacionales con el objeto de reducir las emisiones de GEI a los niveles de 1990, presentando las INDC sobre ellas.
- Presentar un inventario anual de emisiones de GEI.

Países Industrializados:

- Proveer recursos financieros para que los países en desarrollo enfrenten implementación de medidas.
- Facilitar la transferencia de tecnologías hacia las economías en transición y los países en desarrollo.

Países en desarrollo y economías en transición

- Informar sobre las medidas que hayan adoptado para hacer frente al Cambio Climático.
- Plazo más amplio para presentación de las INDC; su elaboración depende de provisión de recursos financieros.

Para facilitar el desarrollo y la transferencia de tecnología, se creó el Mecanismo de Tecnología. Este consta de dos componentes: un Comité Ejecutivo de Tecnología (TEC, por sus siglas en inglés) y el Centro y Red de Tecnología del Clima (CTCN, por sus siglas en inglés). Es así como se concluye que existe una disposición de transferencia de tecnología de países desarrollados a países con economías en transición o países en desarrollo, lo que significa una oportunidad para el desarrollo de las NAMA.

6.3. Otras oportunidades

De acuerdo a las entrevistas realizadas mencionadas en el Cuadro 5, se pueden mencionar las siguientes oportunidades:



- Obtención de fuentes de cooperación internacional para las NAMA que muestren una fuerte integración entre los sectores competentes público y privado. Esto es un atractivo para el financiamiento.
- Los países que cuenten con presupuesto destinado al apoyo de actividades de reducción de emisiones de GEI son los más cercanos a recibir financiamiento de fuentes cooperantes, ya que, al existir contrapartida, se asegura la sostenibilidad de la inversión y esto es otro atractivo para el financiamiento.
- En muchos casos, existe la integración rápida del sector privado cuando se observa la NAMA como una oportunidad de negocio a mediano y largo plazo, así como un programa que les permitirá ahorrar año a año.
- Las NAMA que se encuentren enmarcadas dentro de una estrategia nacional tienen mayor ventaja para avanzar sin obstáculos, ya que vienen siendo respaldadas por una iniciativa nacional aprobada por el Estado, es decir, se convierten en NAMA sólidas y atractivas para el financiamiento.
- Los sectores que comparten la iniciativa de las NAMA, así como el financiamiento obtenido, con otros sectores competentes y arman una sinergia, son las que se desarrollan con mayor velocidad, en comparación con que las NAMA de sectores que centralizan todo el trabajo.
- Las NAMA que sean diseñadas para abarcar mayores aspectos son más atractivas que las NAMA convencionales que plantean soluciones a aspectos individuales. Por ejemplo, una NAMA de Ciudad Sostenible, que abarca construcciones sostenibles, transporte sostenible, uso de energía limpia, gestión de residuos sólidos y líquidos, etc., tiene mayor atractivo que una NAMA que solo contemple ciclovías para promover el transporte sostenible.
- Las NAMA que contemplen sectores que significan un gran negocio a nivel nacional tienen mayores oportunidades, asegurando la presencia y participación de la banca privada presente en el país ya que dichos actores son sus principales clientes.
- Afortunadamente, en muchos casos, el Estado es el más comprometido en la sensibilización de los actores para asegurar la sostenibilidad de las NAMA.
- Los países que ya han trabajado PoA-MDL tienen mayores posibilidades de enmarcar dichos PoAs en NAMA.
- Las NAMA que conllevan a un ahorro de energía o a un uso de energías renovables en países donde la energía es muy cara, por provenir principalmente de combustibles fósiles, son más atractivas para los sectores privados pues desencadenará una serie de ahorros económicos.
- Se ha podido observar que, dentro de las oportunidades, existe una disponibilidad de apoyo que ha favorecido el desarrollo de una cartera de proyectos importantes en diferentes sectores y regiones. Es así como sectores complejos, como el transporte y la agricultura, que no fueron bien acogidos por el MDL, están dirigidos de manera efectiva a través del concepto de NAMA, ya que las oportunidades de atraer el financiamiento son mayores desarrollando diversas NAMA como medidas nacionales que desarrollando proyectos individuales.



- Diversos países de ALC han desarrollado el esquema del MDL aplicando esta iniciativa en diversos proyectos pertenecientes a distintos sectores de cada país y, dentro de todo este esfuerzo, se reconoce que existe una capacidad establecida para identificar y desarrollar actividades de reducción de emisiones de GEI, por lo cual existe una oportunidad para el desarrollo de distintas NAMA, al contar con dicha experiencia y de esa manera encaminar los esfuerzos realizados y partir de los PoA planteados para iniciar una NAMA sectorial.
- Dentro de las oportunidades de financiamiento directo de cooperación internacional mencionadas anteriormente, se puede inferir que este esquema de NAMA facilitaría el acceso a créditos para inversiones en tecnologías de autoabastecimiento e infraestructura para la implementación de sus NAMA, e incluso cuando el Estado establezca apoyo institucional para el mismo; además, con una capacitación de la banca privada nacional se pueden crear líneas de crédito para desarrollar pequeñas actividades que se sumen a la iniciativa.
- El desarrollo de las NAMA también da la oportunidad de crear capacidades para establecer, operar y mantener tecnologías e infraestructura para garantizar su uso eficiente y maximizar sus beneficios asegurando, de esta manera, un periodo prolongado de reducción de emisiones de GEI gracias a un buen manejo.
- El apostar por el desarrollo de las NAMA desde la creación de políticas hasta el establecimiento de los mecanismos de MRV podrían promover la creación de un mercado interno de servicios seleccionados especializados, creando nuevas oportunidades y fuentes de empleo en el país y disminuyendo la pobreza.

Cabe mencionar que la labor que viene llevando la OLADE en el desarrollo de las NAMA mediante el apoyo de la cooperación canadiense, ha desempeñado un importante papel en la ejecución de varios proyectos desde 1996, mediante un convenio firmado entre OLADE y la Universidad de Calgary (UC), con recursos de la Agencia Canadiense de Desarrollo Internacional (CIDA, por sus siglas en inglés), para la ejecución del «Programa de Maestría de Energía y Ambiente» y los «Talleres de Capacitación Ambiental y Compilación de Leyes Ambientales en América Latina y el Caribe», que concluyeron en diciembre de 2002. Adicionalmente, durante el período 2003-2011 se desarrolló una segunda fase de la cooperación de Canadá con el proyecto denominado «Proyecto OLADE/UC/CIDA sobre Energía Sostenible».

Finalmente, en marzo de 2012 se firmó un acuerdo entre OLADE y el Gobierno de Canadá, iniciando así una nueva fase de la cooperación, que culminará en diciembre de 2017. En esta ocasión, los fondos de la cooperación canadiense son administrados por la Secretaría Permanente de OLADE.¹⁸ Dentro de esta cooperación, OLADE tiene un proyecto denominado «Proyecto OLADE-CIDA: MDL Programático y las NAMA» cuyo objetivo es fortalecer las capacidades en la región para el desarrollo del MDL

¹⁸ OLADE (2014). *Acceso a la Energía Sostenible en América Latina y el Caribe*. Organización Latinoamericana de Energía, OLADE



Programático y las NAMA para contribuir a la reducción de emisiones contaminantes. Dentro de sus actividades principales se encuentran:

- Construcción de capacidades mediante talleres regionales para compartir lecciones aprendidas y estimular el desarrollo de este tipo de iniciativas en la región.
- Identificar y evaluar el potencial de las NAMA en el sector energía en la región.
- Realizar capacitaciones virtuales tipo Webinars.
- Apoyar el desarrollo de las NAMA energéticas en ALC.

De dichas actividades a la fecha se han desarrollado las siguientes:

- Taller Caribe MDL Programático y las NAMA (Jamaica, septiembre de 2012).
- Taller sobre las NAMA (Cuba, julio de 2013)
- Apoyo en el desarrollo de las NAMA en Jamaica y Cuba
- Próximo apoyo para las NAMA en energía en Colombia y Nicaragua.
- Curso «NAMAs E-learning».

Este apoyo que viene otorgando OLADE es considerado una oportunidad importante en ALC para el fortalecimiento de capacidades y asesoría técnica para el desarrollo de diversas NAMA, considerando que este proyecto de apoyo con CIDA tiene plazo hasta el 2017.



Capítulo 7

Conclusiones y recomendaciones

Conclusiones

- ✓ Las NAMA fueron concebidas con el propósito de integrar los objetivos de desarrollo bajo en emisiones de GEI de los países, buscando el compromiso de los gobiernos para el cumplimiento de los mismos.
- ✓ A lo largo de las negociaciones internacionales dentro de las COP, se han ido afinando los conceptos y los procesos para la elaboración de las NAMA, incluso hoy mismo, continúan evaluándose las estrategias para la implementación de las NAMA.
- ✓ Asimismo, para facilitar la difusión de las NAMA y la búsqueda del financiamiento, la CMNUCC ha implementado una plataforma para el registro oficial de las NAMA que se encuentran en búsqueda de financiamiento para su elaboración y para quienes buscan financiamiento para su implementación.
- ✓ Existen diversas NAMA que no han sido registradas aún en la plataforma de la CMNUCC, sin embargo, se vienen desarrollando de manera paralela a este registro, lo cual puede verse como una desventaja, ya que, al ser un registro voluntario, las fuentes financieras pueden no estar al tanto de todas las NAMA existentes que sí pueden financiar.
- ✓ Existe un mayor porcentaje de las NAMA en búsqueda de financiamiento para su implementación, lo que representa un 59%, seguido de las NAMA en búsqueda para su elaboración, que es un 22%, y, finalmente, un porcentaje menor de las NAMA en implementación, apenas un 19%, lo que muestra una evidente serie de barreras para que un 81% de las NAMA aún no se encuentren en implementación.
- ✓ Dentro de las barreras, se puede observar que la principal es la ausencia de financiamiento para la implementación de las NAMA, lo que se debe, no sólo al difícil acceso a las fuentes de financiamiento, sino también asociado a la falta de articulación entre sectores competentes que hacen que la NAMA no sea atractiva al financiamiento, además de una ausencia de contrapartida por parte del Estado, que no garantiza la sostenibilidad de la NAMA.
- ✓ Asimismo, sobre las oportunidades para el desarrollo de las NAMA, se ha identificado diversas fuentes de financiamiento importantes para su desarrollo, las cuales han favorecido a aquellas NAMA que abarcan más sectores o que contemplan ideas innovadoras.
- ✓ Existe gran capacidad construida en los países de ALC sobre el desarrollo de proyectos MDL, sobre todo PoA, lo que sirve de oportunidad para el desarrollo de las NAMA y para la identificación de las acciones de mitigación que debe englobar.
- ✓ Las NAMA asociadas al uso eficiente de la energía, así como al uso de energías renovables, tienen gran oportunidad de ser desarrolladas, ya que existe una rica experiencia en el desarrollo de actividades de mitigación en el sector energético, producto de las lecciones aprendidas del MDL. Estas NAMA, además, tienen una gran posibilidad de apoyo pues se observa la disposición de los sectores en

participar de ellas, ya que todos requieren energía para sus actividades y las NAMA en energía muestran posibilidades de ahorro para ellos.

- ✓ El financiamiento para implementar las NAMA es alto, por lo cual tenemos que el monto requerido para la implementación de las quince NAMA reportadas en el presente estudio es de US\$ 4,893.8 millones.
- ✓ El sector privado aún no ve con interés participar en una NAMA porque no le reporta beneficios económicos inmediatos, sin considerar el potencial futuro de ser un sector con responsabilidad ambiental.
- ✓ Las NAMA se basan en la implementación de políticas, planes, programas y proyectos nacionales que tengan el potencial de reducir emisiones o evitar su generación de una forma medible, reportable y verificable. Si bien el objetivo fundamental de las NAMA es reducir emisiones de una forma agregada y sectorial, es la implementación real y efectiva de políticas, programas y proyectos nacionales/sectoriales la que brinda el resultado esperado.
- ✓ A la fecha, el concepto de lo que es una NAMA ha ido evolucionando, para incorporarse como un mecanismo que puede apoyar a la reducción de emisiones en países en desarrollo y, de esta manera, se puedan cumplir con la meta global de estabilizar la temperatura de la atmósfera debajo de un 2°C.
- ✓ Proyectos como el Partnership for Market Readiness contribuirán a alinear mecanismos e instrumentos de financiamiento público con las NAMA, así como crear mecanismos de *carbontax*, mercado doméstico, esquema de comercio de emisiones, incentivos para privados, etc., tomando en cuenta las necesidades y realidad de cada país Parte.
- ✓ Las NAMA contribuyen a mantener la competitividad en los países en desarrollo ante los nuevos mercados y requerimientos (i.e. OECD), a través del crecimiento económico, con menores emisiones de carbono.
- ✓ Asimismo, las NAMA canalizan esfuerzos y financiamiento para desarrollar oportunidades de negocio.
- ✓ Cabe resaltar que a través de la implementación de este tipo de iniciativas se logra obtener los beneficios sociales, económicos y ambientales de las oportunidades de negocio con componentes de mitigación de GEI.
- ✓ Las NAMA también son insumos importantes en las INDC que vienen elaborando los países en desarrollo, las cuales serán presentadas en el 2015.
- ✓ La importancia de las NAMAs en la generación de energía no radica únicamente en convertir la matriz energética en renovable al 100% sino apoyar y servir de impulso para garantizar la seguridad energética del país donde se implemente dicha NAMA incluyendo el componente de uso eficiente de energía.



Recomendaciones

- En las COP se deben abrir espacios de análisis y discusión más específicos que los «Side Event» en relación a las NAMA, ahí donde se presenten exclusivamente las barreras y las oportunidades de las NAMA para que, de esta manera, se difundan, año tras año, estas lecciones aprendidas y sirvan de ejemplo a los países que se van encaminando en la elaboración de diversas NAMA, a fin de no cometer los mismos errores y para avanzar de manera eficiente y eficaz.
- Las fuentes de financiamiento deben tener en cuenta, no solo el NAMA Registry colocado en la plataforma de la CMNUCC, sino también observar las diferentes páginas web que recogen información de cada país que no ha sido registrados en la plataforma oficial, ya que se encuentra mucha información muy interesante sobre las NAMA que requieren apoyo económico.
- Se debe asegurar la intervención del Estado y su involucramiento intersectorial en el desarrollo de las NAMA conjuntamente con el sector privado, para que de esta manera las NAMA posean la solidez necesaria para eliminar barreras en el sector público y privado y así ser mucho más atractivas al financiamiento.
- La elaboración de una Estrategia Nacional de Desarrollo Bajo en Emisiones permitirá dar paso a las NAMA que se diseñarán de acuerdo a los objetivos que se plantea cumplir en dicha estrategia nacional. De esta manera, la NAMA tendrá una base sólida que le permitirá obtener un respaldo nacional para facilitar el acceso al financiamiento.
- Previo al diseño de las NAMA, se debe elaborar una estrategia específica en concordancia con la Estrategia Nacional de Cambio Climático y la Estrategia Nacional de Desarrollo Bajo en Emisiones, que solucione los problemas intersectoriales que se desea abarcar para el cumplimiento de objetivos de mitigación.
- Elaborar las NAMA en sectores donde ya se cuente con experiencia en actividades de mitigación y se haya realizado esfuerzos de construcción de capacidades sectoriales, de modo que se aprovechen dichos avances, como es el caso del sector energético.
- Se debe evaluar el rol del Fondo Verde para la Implementación de las NAMA, en particular, en el caso del sector energético.



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Anexos



ANEXO N°1:
MANUAL DE REGISTRO DE NAMAs EN
LA PLATAFORMA DEL NAMA
REGISTRY DE LA CMNUCC

Manual of the NAMA registry
Version of 19 February 2014

1. Introduction

The Conference of Parties (COP), at its sixteenth session, decided to set up a registry to:

- Record nationally appropriate mitigation actions (NAMAs) seeking international support
- Facilitate the matching of finance, technology and capacity-building support with NAMAs
- Recognize other NAMAs

The COP, at its seventeenth session, decided to develop the registry as a dynamic, web-based platform. The registry has now been established by the secretariat.

2. Objective

This manual has been developed to assist Parties and organizations in accessing, using and submitting information to the registry.

The information contained in this manual should not be taken as guidance to prepare and/or implement NAMAs. The aim is to provide a common reference to all the potential users of the registry. Parties and organizations are encouraged to follow the suggestions included in this manual but are not obliged to do so. Users of the registry are also invited to note the following:

- Participation in the registry is voluntary.
- Participation in the registry is not a requirement to receive or provide support; likewise, it is also not an obligation to provide support or a guarantee that support will be provided.
- The registry is not a system for formally reporting on proposed actions or their results. The decision on what information to upload and what level of accuracy to use is entirely in the hands of the users.
- Likewise, there are no requirements to verify the information that will be recorded in the registry. Hence, the responsibility for the quality and accuracy of the information lies within the entity or entities responsible for the approval of this information (see roles, Part I, chapter 3). The quality and completeness of information is an asset in the process of finding support and getting recognition for NAMAs.

In future, it is expected that experiences, lessons learned and comments from usage will lead to improving the registry and its templates, as well as this manual. Users are encouraged to communicate to the secretariat any comments they may have, including problems, inconsistencies or suggestions for improvement. This information can be sent to:

NAMA-Registry@unfccc.int

3. Overview of the draft manual

This manual is divided in two parts:

- Part I provides information on the design and functioning of the registry or, in other words, its “mechanics”. It explains how to access the platform and introduces the different user roles; describes the database and its sections; outlines the different workflows; and provides a description of the tools available to submit information into the registry.
- Part II guides the user on how to fill in the fields of the templates to submit information on NAMAs and/or support to the registry. Its aims to serve as a quick reference by briefly describing the meaning of each field, the type of information that could be provided, the

available options and alternatives and, in some cases, possible sources of information. Chapter 2 describes the fields relating to NAMAs and Chapter 3 those relating to information on support.

Quick reference guide

HOW TO....

Information on NAMAs

Find a NAMA	<ul style="list-style-type: none"> • Browse the registry • Use the Google-type search engine • Use the search filter
Request access rights	<ul style="list-style-type: none"> • For NAMA approvers, the UNFCCC focal point should send a message to Nama-registry@unfccc.int • NAMA developers should request rights from their UNFCCC focal point
Create a NAMA entry	<ul style="list-style-type: none"> • Login • Select the relevant type of NAMA to create in the “create” box • Fill in the NAMA template • Save or submit • If the NAMA is approved, it will be recorded in the registry; otherwise it will be returned with comments
Record (approve) a NAMA*	<ul style="list-style-type: none"> • Log in • Select “pending submissions” • Select the appropriate NAMA (marked as submitted for approval) and click on its title to open the template • Check the information • Approve and submit the NAMA or return for modification • Note: NAMAs created by “NAMA approvers” do not need to go through a process of approval <p>* only for “NAMA approvers”</p>
Edit a NAMA entry	<ul style="list-style-type: none"> • Log in • Click “My recorded NAMAs” in the “review” box • Identify from the list the NAMA to be edited and click on the title • Make the relevant changes in the template • Press “resubmit” when finished* <p>*changes by NAMA developers require approval</p>
Delete a NAMA entry	<ul style="list-style-type: none"> • Log in • Click on “My recorded NAMAs” in the “review” box • Identify from the list the NAMA to be deleted • Click the “delete” icon • When promoted, confirm the deletion
Record support received	<ul style="list-style-type: none"> • Log in • Click on “My recorded NAMAs” in the “review” box • Identify the NAMA that has received support • Click “identify support received”

	<ul style="list-style-type: none"> • Identify support the source and amount of support and click submit when finished • The information will be submitted for confirmation by the support provider
Confirm provision of support reported by support editor	<ul style="list-style-type: none"> • Open email seeking confirmation of support • Click on the link in the email • Confirm support or send back for modification

Information on support

Find a source of support	<ul style="list-style-type: none"> • Browse the registry • Use the Google-type search engine • Use the search filter
Request access rights as a “support editor”	<ul style="list-style-type: none"> • For “support editors”, representatives from government agencies, multilateral, bilateral and other entities should send a message to Nama-registry@unfccc.int
Create and record an entry on information on support	<ul style="list-style-type: none"> • Login • Click on “information on support” under the “create” box • Fill in the template and submit
Edit an entry on information on support	<ul style="list-style-type: none"> • Log in • Click on “My recorded entries” in the review box • Identify from the list the entry to be edited • Make the relevant changes in the template • Press “submit” when finished
Delete an entry on information on support	<ul style="list-style-type: none"> • Log in • Click on “My recorded entries” in the “review box” • Identify from the list the entry to be deleted • Click the “delete” icon
Record support provided	<ul style="list-style-type: none"> • Log in • Click on “My recorded entries” • Click on the source of support • Identify the supported NAMA • Enter the information on support provided • Submit
Confirm the provision of support reported by NAMA developer/editor	<ul style="list-style-type: none"> • Open email seeking confirmation • Click on the link in the email • Confirm or send back for modification

Part I: The NAMA registry

1. Overview of the registry

The registry is a web-based platform consisting of a database and a user interface.

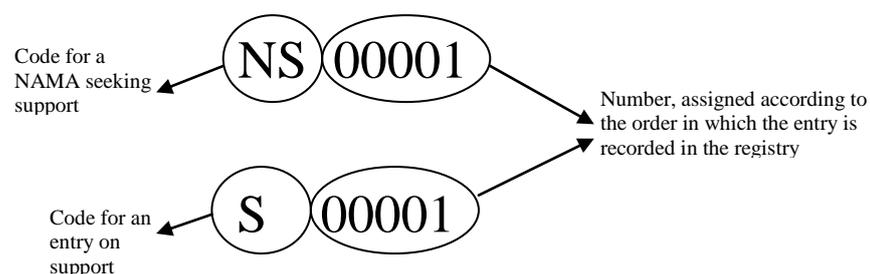
The database records and manages information on NAMAs and support for NAMAs. In line with guidance provided by Parties, the database consists of the following sections:

- NAMAs seeking support for preparation;
- NAMAs seeking support for implementation;
- Other NAMAs, for recognition;
- Information on support for the preparation and implementation of NAMAs.

Each of the above sections will contain entries for individual NAMAs or information on support for NAMAs and each entry will consist of a template with a set of fields describing the NAMA or source of support (see part II).

After an entry has been added to the registry, the system will record its date of receipt, and assign an identifier to it consisting of a code denoting the type of entry and a sequential number. For NAMAs seeking support, the code will be “NS”, other NAMAs, for recognition, will be identified with “NR”. On the other hand, entries on support for NAMAs will be identified with “S” (see figure 1).

Figure 1. Identifying entries in the registry



Abbreviations: NAMA = nationally appropriate mitigation action, NS = NAMAs seeking support, S= entries on support for the preparation and implementation of NAMAs.

When a NAMA has received support, users of the registry will be able to enter and access information on internationally supported mitigation actions and their associated support. This information will be incorporated in the different NAMA entries.

The user interface will enable users of the registry to submit, record, update, edit and access the information contained in the databases. This interface will consist of the following:

- A set of tasks to create entries for NAMAs and information on support, as well as manage recorded information (see chapter 4.1).
- Templates to submit and manage NAMAs and information on support (see part II)
- Tools to browse information contained in the database, namely:
 - Country pages
 - NAMAs seeking support for preparation
 - NAMAs seeking support for implementation
 - Other NAMAs, for recognition
 - Information on support

- Tools to search information, including a “Google-type” engine and a filter (see chapter 4.3)

2. Accessing the registry

The registry can be accessed through the UNFCCC website under the link “cooperation and support”. The registry can also be located under the following URL:

<http://www4.unfccc.int/sites/nama>

Country pages
NAMAs seeking support for preparation
NAMAs seeking support for implementation
Other NAMAs for recognition
Information on support
supported NAMAs

Browse ...

Search this site...
Advanced search

Search ...

NAMAs seeking support

Country	Title	Date Created
Mexico	Cogeneration in the Mexican Oil and Gas sector	11/09/2013
Mexico	Emission Reduction Actions Program (NAMA) in Natural Gas Processing, Transport and Distribution System, through fugitive emission reduction	11/01/2013
Dominican Republic	NAMA in Cement/Ce-Processing and Waste Sector	10/17/2013
Uruguay	Sustainable production with low-emission technologies in agriculture and agroindustry production chains.	10/14/2013
Uruguay	Sustainable Housing Programme	10/14/2013

Last updated information on support

Country	Title	Date Created
European Economic Community	Latin American Investment Facility	11/06/2013
European Economic Community	Neighbourhood Investment Facility	11/06/2013
Austria, Belgium, Finland, France, Germany, Greece, Italy, Luxembourg, Netherlands, Portugal, Spain, United Kingdom of Great Britain and Northern Ireland	EU-Africa Infrastructure Trust Fund	11/05/2013
Germany	Climate-related ODA funding	10/14/2013
Germany	International Climate Initiative (ICI)	10/14/2013

NAMAs for recognition

Country	Title	Date Created
Uruguay	LNG Terminal with regasification capacity of 10,000,000m ³ /d of natural gas with possible expansion to 15,000,000m ³ /d	10/14/2013
Uruguay	Promotion of renewable energy participation in the Uruguayan primary energy mix	10/14/2013
Chile	Clean Production Agreements in Chile	10/14/2013
Serbia	Construction of New Energy Efficient Buildings Based on Energy Efficiency Regulation in Serbia	10/14/2013

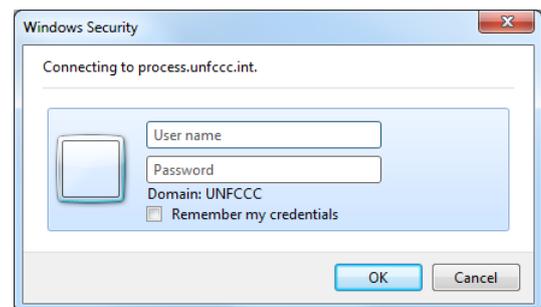
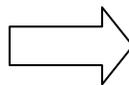
Support provided/received

From	Title	To	Date Recorded
No records to display.			

Note that this website is synchronized with the registry database every 4 hours. Changes made by registry users will take up to this long to appear on this public site.
Contact Us

The homepage of the registry displays the most recently added information and menus for browsing and searching the registry.

Users with access rights can create and edit entries but must first login to the registry using the menu in the top right hand corner of the registry homepage.



3. Roles

The user roles for the registry have been split between those for NAMAs and those for support for NAMAs. An overview of the roles and their rights is summarized in table 1.

In accordance with guidance provided by Parties, NAMAs should be centrally approved at the national level before they can be recorded in the registry. To implement this requirement, the following roles relating to NAMAs will be implemented in the registry:

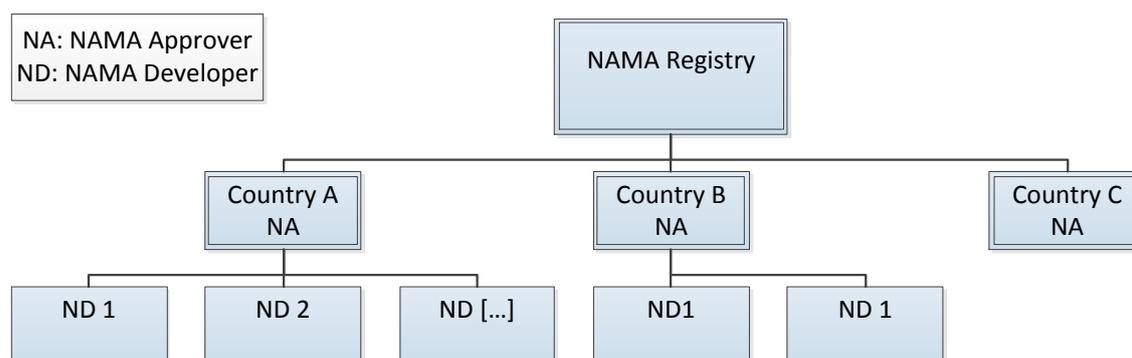
- ‘**NAMA approvers**’ will have the responsibility of approving all NAMAs for their country before they are recorded in the registry. Each developing country Party will be granted **one** password and log in for this role. NAMA approvers will also have full access rights to the

system: they will be able to create, edit, update or delete all of their country’s NAMA entries. In addition, they will be able to grant access rights to ‘NAMA developers’ (see below);

- **NAMA developers** will be granted rights to create NAMA entries and submit them for approval. They will also be able to edit, update or delete the entries created by them. Each developing country Party may be able to grant as many NAMA developer roles as it requires.

The distribution and amount of access rights for NAMA editor roles will be determined autonomously by each country. Some countries may decide to assign roles on request in order to promote the creation of NAMAs by any actor that wishes to do so. Other countries may decide to limit rights to institutions that are designated to create NAMAs. Finally, a country may also decide not to issue rights for NAMA developers and move the responsibility of creating and approving NAMAs solely to the NAMA approver. Figure 2 provides an illustration of three countries with a different approach to granting access rights. Country A has decided to grant as many access rights assigned to NAMA editor roles as are required by actors that wish to prepare and implement NAMAs; country B has only provided two such roles; and, finally, country C has decided to centralize the creation and approval of NAMAs within the NAMA approver role.

Figure 2. Three approaches to access rights



As regards to the information on support for NAMAs, only one role has been implemented in the registry. ‘**Support editors**’ will be able to access the registry and create and submit entries for information on support. There are no restrictions as to what type of organization would be eligible for access rights as support editors. Developed country Parties and any organization (public or private) with a programme of support for, or of relevance to, NAMAs, will be able to receive such access rights.

3.1 Applying for access rights to use the registry

The UNFCCC Secretariat has contacted all Parties via their National Focal Point with instructions for obtaining **NAMA approver** access rights (for developing country Parties) or support editor access rights (for developed country Parties).

Access rights for **NAMA developers** will be granted initially to users via their national UNFCCC focal point (in the case of NAMAs). Those seeking access rights as NAMA developers should contact the relevant National UNFCCC focal point¹. Should the national focal point decide to

¹ The list of Non-Annex I parties and their focal points can be found at http://unfccc.int/parties_and_observers/parties/non_annex_i/items/2833.php

grant access rights to a **NAMA developer** they will request these rights by e-mailing <NAMA-Registry@unfccc.int>.

Rights for **support editors** will be granted directly by the secretariat upon request to <NAMA-Registry@unfccc.int>.

Table: Access rights for the NAMA registry

<i>Role</i>	<i>Rights</i>	<i>Comments</i>
NAMA approver	<ul style="list-style-type: none"> Browse all information in the registry; Create NAMAs (in his/her country); Approve NAMAs created by NAMA developers; Edit/delete all NAMAs of his/her country. 	The NAMA approver role centralizes the process of approval and submission of NAMAs to the registry. This role could be granted, for example, to the UNFCCC focal point, the DNA, the lead climate change agency or others, as decided by the Party
NAMA developer	<ul style="list-style-type: none"> Browse all information in the registry; Create and submit NAMAs for approval (in his/her country); Edit/delete own NAMAs. 	Access rights for NAMA developers are granted by NAMA approvers via the registry ² . There is no limit as to how many NAMA editor access rights can be generated for a given country. Such rights could be given, for example, to project formulators, representatives of government agencies, private companies or others, as decided by the Party
Support editor	<ul style="list-style-type: none"> Browse all information in the registry; Create, submit, edit and delete entries for information on support. 	Any organization (public or private) with a programme that is relevant to supporting NAMAs may receive access rights to create an entry in the registry. They can include ministries, bilateral cooperation agencies, multilateral organizations, multilateral and regional development banks, private and public banks and funds, foundations or others

Abbreviations: NAMA = nationally appropriate mitigation action, DNA = designated national authority.

4. Description of the interface



After logging in, the user will be presented with the registry homepage which contains four boxes of activities for users:

² The National Focal Point will need to email a request for NAMA developer rights to be granted to NAMA-registry@unfccc.int.

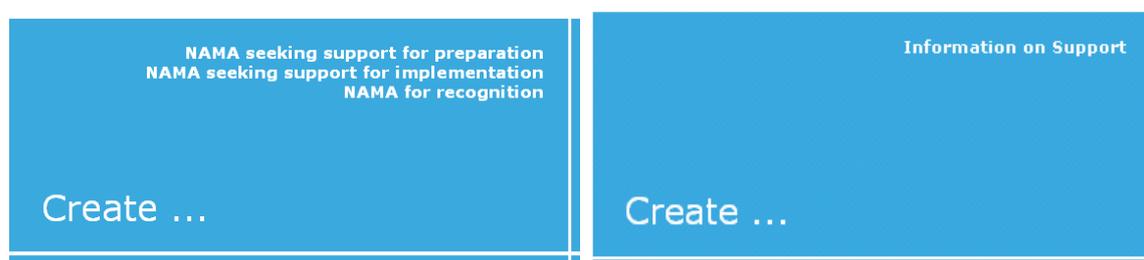
Create (visible only to users with access rights): Here registry users can create entries for various types of NAMAs as well as create support available to NAMAs. These functions are further explained in chapter 4.1.

Review (visible only to users with access rights): Here registry users can access their entries on NAMAs or support that are in progress or have been recorded in the registry. These functions are explained further in chapter 4.2.

Browse: Here registry users can browse entries on NAMA and support by category. This function is explained further in chapter 4.3.

Search: Here registry users can use two tools to search for information in the registry, a google-type search engine and an advanced search allows users to search for particular types of NAMAs. This function is explained further in chapter 4.4.

4.1 The “Create” Box



As noted already the options visible under this menu will be different for the three types of registry users.

4.1.1 Create NAMA entries (only available to NAMA developers and approvers)

Three options are be available for creating NAMA entries;

- **Create a NAMA seeking support for preparation;**
- **Create a NAMA seeking support for implementation;**
- **Create a NAMA for recognition.**

After selecting the appropriate option, the system will load the submission template thus allowing the user to input the NAMA descriptive information (see part II).

NAMA Seeking Support for Preparation

A Overview	▼	Spell Check	Cancel	Save	Submit
B National Implementing Entity	▼	Save as Word			
C Expected timeframe for the preparation of the mitigation action	▼				
D Currency	▼				
E Cost	▼				
F Support required to prepare the mitigation action	▼				
G Relevant National Policies strategies, plans and programmes and/or other mitigation action	▼				
H Attachments	▼				
I Support received	▼				

The registry will also allow the user to upload accompanying documentation to provide further information on the NAMA. There will be no limit on the number of documents that can accompany a NAMA entry (see part II, chapter 2.12).

The user can decide to save (“save”) the information and submit it at a later stage or submit it (“submit”) immediately for recording in the registry. Once a NAMA is saved, a pop-up window appears, showing “all changes have been saved”. NAMAs submitted by NAMA approvers will be directly recorded in the registry without any approval step. NAMAs submitted by NAMA developers will be forwarded to NAMA approvers for approval before they can be recorded in the registry.

For additional information on the workflow steps, please refer to chapter 5.

4.1.2 Create entries for information on support (support editors only)

To create an entry for information on support, click on “Information on support” in the “Create” box. The system will load the submission template thus allowing the support editor to input the information that describes the source of support (see part II). He or she will have the option of saving the template to submit it later by clicking “save” or of submitting it for recording immediately by clicking “submit”.

Information on Support Available

A Source of Support	▼	Spell Check	Cancel	Save	Submit
B Organization channelling the resources	▼	Save as Word			
C Currency	▼				
D Support available	▼				
E Types of action that may be supported	▼				
F Process for the provision of support	▼				
G Attachments	▼				
H Information on support provided	▼				

The registry will also allow him or her to upload accompanying documentation to provide further information on the NAMA. There will be no limit on the number of documents that can accompany an entry (see part II, chapter 3.6).

For additional information on the workflow, please refer to chapter 5.

4.2 The “Review” Box



Depending on their role, users will see the following options:

- **Pending submissions (all users)**
- **My recorded NAMAs (NAMA developers and approvers)**
- **All recorded NAMAs (NAMA approvers only)**
- **My recorded entries (Support editors only)**

4.2.1 Pending submissions for NAMA approvers

Pending submissions will include all NAMA entries that have been created but not yet been recorded in the registry. NAMAs will be listed according to their type and be assigned a status that illustrates the location of the NAMA in the registry workflows outlined in Chapter 5.

To **record a NAMA that has been saved**, the NAMA approver should click on the relevant NAMA to navigate to the saved NAMA template. After checking that the information is complete, he or she should click on **Submit** to proceed with recording the NAMA in the registry.

When a **NAMA developer has submitted a NAMA for approval**, the NAMA approver will receive an e-mail notification. The NAMA approver will be able to review the NAMA before processing it. To do this he or she can click on the NAMA title in the notification email and display the NAMA. After checking the information the NAMA approver has two options, found in the panel on the right hand side panel:

- **Approve the NAMA**; in this case, the NAMA will be sent to the UNFCCC and be recorded in the registry;
- **Decline the NAMA**; in this case, the approver should explain the reasons for rejection in the comments field, which will be returned via an e-mail to the NAMA developer. The NAMA will then be listed within the pending submissions of the NAMA developer and will require resubmission.

4.2.2 Pending submissions for NAMA developers

Pending submissions will include all NAMA entries that have been created but not yet been recorded in the registry. NAMAs will be listed according to their type and be assigned a status that illustrates the location of the NAMA in the registry workflows outlined in Chapter 5.

To **submit a saved NAMA** for approval, the NAMA developer should click on the relevant NAMA to navigate to the saved NAMA template. After checking that the information is complete, he or she should click on **Submit**. NAMAs submitted by NAMA developers will be forwarded to NAMA approvers for approval before they can be recorded in the registry. For additional information on the workflow steps, please refer to chapter 5.

When a **NAMA has been declined**, the NAMA developer will receive an email notification, which explains the reasons for this. He or she should click on the title of the appropriate NAMA to load the NAMA template. The system will then allow the user to address the comments made by the NAMA approver. After addressing comments pressing **Submit** will resend the NAMA for approval. For additional information on the workflow, please refer to chapter 5.

4.2.2.1 Pending entries for support editors

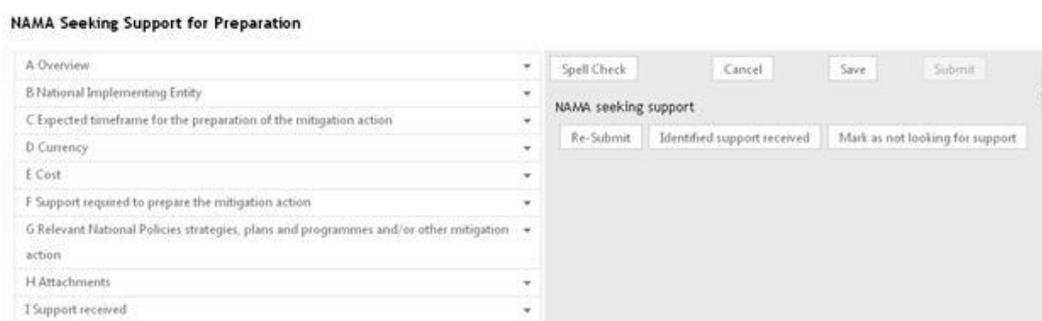
Pending entries include all entries on information on support that have been created but not yet been recorded in the registry. NAMAs will be listed according to their type and be assigned a status that illustrates the location of the NAMA in the registry workflows outlined in chapter 5.

To submit an entry for recording in the registry, the support editor should click on the relevant title to navigate to the template. After checking that the information is complete, he or she should click on **Submit**. For additional information on the workflow, please refer to chapter 5.

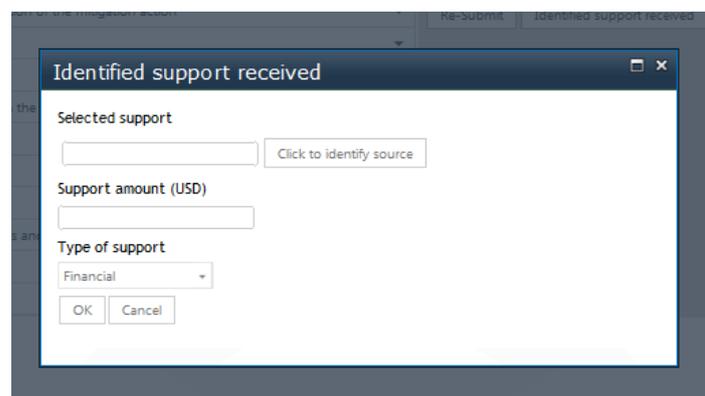
4.2.2.2 My recorded NAMAs for NAMA approvers

Under My recorded NAMAs, NAMA approvers will be able to perform actions relating to the NAMAs that they have created, and that are already recorded in the registry. These actions will include the following:

- To **edit an entry**, the NAMA approver should click on the title of the relevant NAMA. The system will display the NAMA, allowing the user to make any changes required. After these changes have been made, he or she should click on **Re-submit**. These changes will not require any approval as they have been made by the NAMA approver;
- To **delete an entry**, the NAMA approver should identify the NAMA and click on the delete icon: . The system will seek confirmation before it proceeds to delete the NAMA;
- To **provide information on support received**, the NAMA approver should click on the relevant NAMA and click on **Identify support received** in the panel on the right.



- By clicking on “**Click to identify source**”, users can select a source of support from any of the entries on support that are recorded in the registry and the amount of support. The amount and type of support can also be selected. Before this information can be recorded, the system will seek confirmation³.



- To **change the support status of a NAMA**, if a NAMA has received all the support it requires, the user should click on the NAMA and then click on “mark as not looking for support”;

³ Note that this procedure is only for support provided from a source listed in the registry as a source of support. If the source of support is not listed in the registry then the relevant NAMA approver or developer can enter this directly into the “outside the registry” section of the NAMA template.

- Whenever a support editor has provided information on support received for a recorded NAMA⁴, the relevant NAMA approver will receive an e-mail notification. Before the information can be recorded in the registry, this information needs to be confirmed by the NAMA approver. To **confirm the provision of support** received, he or she should click on the title of the relevant NAMA in the notification email. The system will load a window, which identifies the source and amount of support;
- If the NAMA approver confirms the information, he or she should click on **Confirm support received** to record it in the registry;
- If the NAMA approver declines the information, he or she should click on **Send back with comments**. The system will load a window to allow him or her to explain the reasons for rejection, which will be automatically e-mailed to the support editor. This NAMA will be listed within the pending submissions of the support editor and will require resubmission.

4.2.2.3 All NAMAs recorded for [country](NAMA approvers only)

This option allows the NAMA approver to perform actions on all NAMAs that have been recorded for his or her country. The process follows the same steps as described for “My recorded NAMAs”, above.

This menu also allows NAMA approvers:

- **Approve or decline** changes to recorded NAMAs or information on support received as specified by NAMA developers from their country
- **Approve or decline** information on support identified for NAMAs in their country

4.2.2.4 My recorded NAMAs for NAMA developers

The tasks relating to “My recorded NAMAs” will be the same and follow those principles described above for NAMA approvers (see chapter 4.2.2.2). Approval by the NAMA approver is necessary before any change can be recorded. In cases of rejection, the NAMA developer will receive an e-mail notification, which explains the reasons for this rejection.

4.2.2.5 My recorded entries for support editors

Under **My recorded entries**, the support editor will be able to perform actions relating to the entries on information on support that have been created by him or her and are already recorded in the registry. These actions include the following:

- To **edit an entry**, the support editor should click on the title of the relevant entry. The system will display the template, allowing the user to make any changes that are considered relevant. After these changes have been made, he or she should click on **Re-submit** to record the changes in the registry. For additional information on the workflow, please refer to chapter 5;

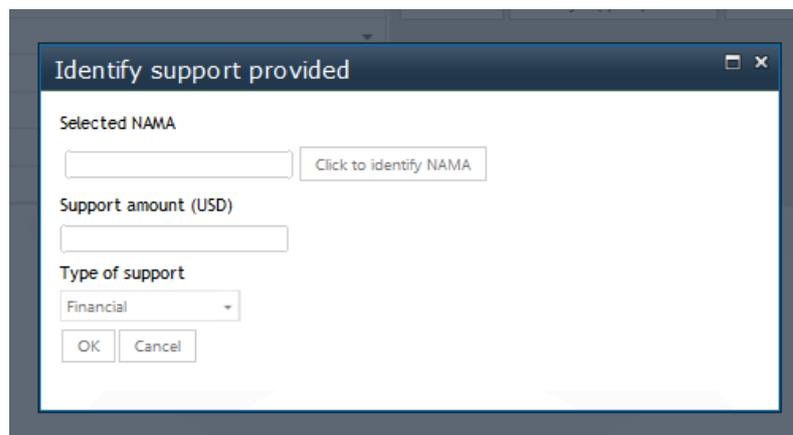
⁴ Note that this procedure is only for support provided from a source listed in the registry as a source of support. If the source of support is not listed in the registry then the relevant NAMA approver or developer can enter this directly into the “outside the registry” section of the NAMA template.

- To **delete an entry**, the support editor should identify the relevant NAMA and click on the delete icon . The system will seek confirmation before it proceeds to delete the NAMA.
- To **record that support has been provided** to a NAMA, the support editor should click on the title of their recorded entry and then click on the “**Identify support provided**” button.

Information on Support Available



- A window will load and by clicking on “**Click to identify NAMA**”, the relevant NAMA can be selected. Once a NAMA is selected, it is possible to enter the amount and type of support.
- The support editor should then click on “**OK**” to record this in the registry. Note that before this occurs, the relevant NAMA approver will receive an e-mail notification and be given the option to confirm whether or not support has been provided.

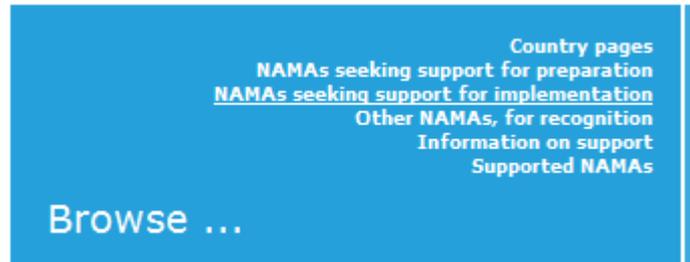


- Whenever a NAMA approver or editor has provided information on support provided to a NAMA⁵, the relevant support editor will receive an e-mail notification. Before the information can be recorded in the registry, this information needs to be confirmed by the support editor. To **confirm the provision of support** received, the support editor should click on the title of the relevant NAMA in the notification email. The system will load a window, which identifies the source and amount of support;
 - If the support editor confirms the information, they must click on **Confirm** to record it in the registry;

⁵ Note that this procedure is only for support provided from a source listed in the registry as a source of support. If the source of support is not listed in the registry then the relevant NAMA approver or developer can enter this directly into the “outside the registry” section of the NAMA template.

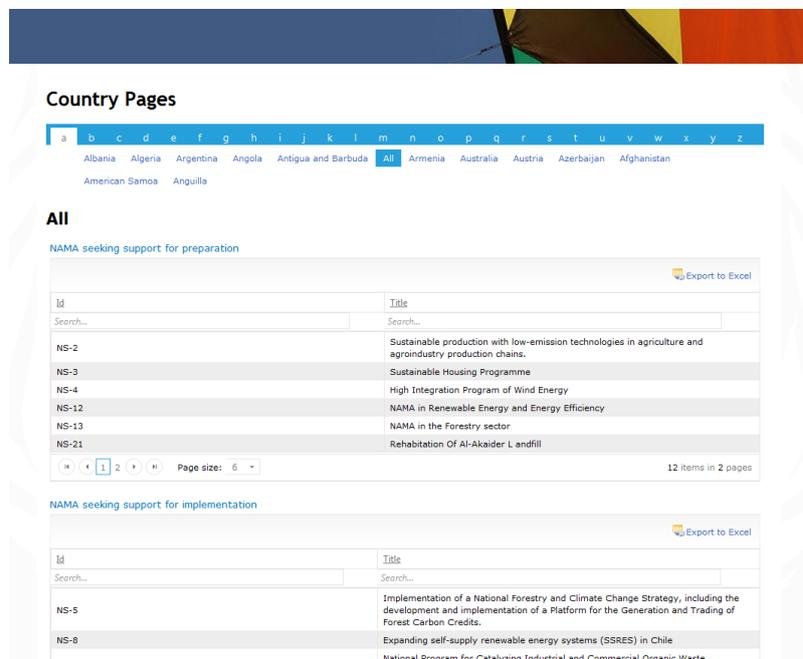
- If the support editor declines to confirm, he or she should click on **Send back with comments**. The system will load a window to allow him or her to explain the reasons, which will be automatically e-mailed to the NAMA developer/approver. This NAMA will be listed within the pending submissions of the NAMA developer/approver and will require resubmission.

4.3 The “Browse” box



The browse menu allows users to browse all information on NAMAs and support contained in the registry:

- By clicking on **country pages**, the system will allow users browse recorded NAMAs by country. To select a country, the user should click on the country name. The system will display the relevant country page, which will show that country’s NAMAs arranged in different sections (NAMAs seeking support for preparation and implementation; other NAMAs, for recognition; and NAMAs for recognition). To navigate to a particular NAMA, the user should click on the relevant NAMA title. The system will display the template of the NAMA with all the information that describes it;



- By clicking on **NAMAs seeking support for preparation**, **NAMAs seeking support for implementation** or **NAMAs for recognition**, the system will display a list of all the NAMAs that belong to the respective category and that have already been recorded in the registry. To navigate to a particular NAMA, the user should click on the relevant NAMA title. The system will display all the information that describes the NAMA;

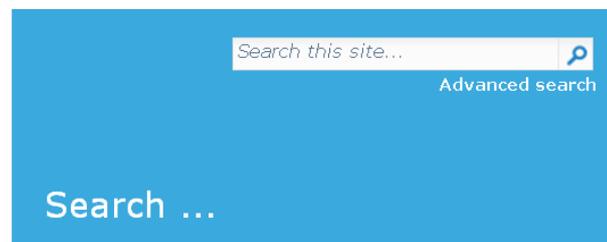
NAMAs seeking support for implementation

Id	Title
NS-5	Implementation of a National Forestry and Climate Change Strategy, including the development and implementation of a Platform for the Generation and Trading of Forest Carbon Credits
NS-8	Expanding self-supply renewable energy systems (SSRES) in Chile
NS-9	National Program for Catalyzing Industrial and Commercial Organic Waste Management in Chile
NS-10	First introduction of Photovoltaic Solar Energy in the national electrical grid
NS-26	Improvement of Energy Efficiency in the Jordanian Water Sector (IEE)
NS-29	Samra Thermal Power Station - Phase-III Add-On Combined Cycle
NS-31	Expansion of existing heating network in Valjevo
NS-32	Introduction of metering system and billing on the basis of measured consumption in district heating systems in Serbia
NS-33	Use of Solar energy for domestic hot water production in Heat plant "Cerak" in Belgrade
NS-34	Thermal Power Project with Capacity and Efficiency Increase II - TTP Nikola Tesla - UNIT A3
NS-35	Introduction 1000 MW of small biomass boilers in Serbia
NS-36	Rehabilitation of arterial roads in Serbia
NS-37	Rehabilitation of the Existing Small Hydropower Plants and Construction of New Small Hydropower Plants (SHPPs)
NS-39	Thermal Power Project with Capacity and Efficiency Increase I - TTP Nikola Tesla - UNIT B2
NS-40	Construction of a Super-critical Lignite Power Plant TTP Kostolac B
NS-41	Energy Efficiency Improvements in Public Buildings: 23 schools and 26 hospitals - Serbian Energy Efficiency Project (SEEP)
NS-44	The Zarda River Basin Industrial Waste Water Treatment Plant and Energy Plant (ZIWTEP)
NS-46	Improvement of old residential buildings envelope (exterior doors, windows and thermal insulation) in Serbia
NS-47	Low Carbon Climate Resilient Development Strategy

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- By clicking on **Information on support**, a list of all entries of support available for NAMAs that has been recorded in the registry will be displayed.
- By clicking **Supported NAMAs**, a list of all NAMAs in the registry that have received support from a source of support listed in the registry will be displayed.

4.4 The “Search” box



Two search functions have been incorporated in the registry. These functions allow the user to search for a particular NAMA or groups of them.

4.4.1 The Search engine

The search engine will be accessed by clicking in the “search this site” box. The user should type one or several keywords to perform the search. The system will display all the entries on NAMAs and information on support for NAMAs that contain these keywords, organized by the different sections of the registry. This engine will also look for the keywords within the documents that have been attached to the different NAMA entries.

For example, if the user wishes to search for wind energy, he or she should type “wind energy” into the Search box. The system will display all the entries that contain these words within any of their fields. To navigate to an entry on NAMAs or support for NAMAs, the user should click on the relevant title. The system will display the template and present all the information that has been recorded for that particular entry.

Whenever the user types multiple words, the system will organize the results depending on how close these words appear within the entries. For example, if the user types in the words “forestry” and “policy” the first entries to be displayed will be those in which these two words are closest, and an entry that contains “forestry policy” in any of its fields will appear at the beginning.

4.4.2 Advanced search

The filter can search NAMAs and/or information on support for NAMAs on the basis of certain fields within the registry templates (see part II). To use the filter, the user should click on “advanced search” within the Search Menu. The system will load the filter through which the user will be able to specify whether the search applies to NAMAs or sources of support for NAMAs.

He or she will also be able to select the options for each field to allow the system to retrieve the NAMAs or sources of support, which match his or her choice. The following should be noted:

- If a category is left blank, the system will disregard it;
- The user can select multiple options.

Note: For the filter to work correctly the templates for NAMAs and information on support must be correctly filled in; that is, users of the registry should always identify an option for the different categories at the time of creating entries for NAMAs or information on support.

The filter contains the following fields which, as already stated, are used in the different NAMA templates (the fields and their categories can be consulted in the NAMA templates):

- Regional scope;
- Sector;
- Technology;
- Type of action;
- Type of required financial support (sought or offered).

After the user has selected the relevant options for the categories, he or she should click on **Submit**. The system will display a list of NAMAs or entries with information on support that matches the choice of the user.

As an example, assume that a person has formulated a NAMA consisting of an investment project to install 5MW of wind energy in a country in Africa. This person requires USD 150.000 dollars in grants and USD 2.000.000 in concessional finance to implement the project.

In order to find potential sources of support, the user should open the search filter and select the following categories:

- Type of NAMA: sources of support
- Region: Africa
- Sector: Energy supply
- Type of action: investment project (technology)
- Technology: Wind
- Type of financial support: Grant and concessional finance

After making his or her choices, the user should press “search”. The system will display all the sources of finance that match these choices. Finally, to navigate to any source of support the user should click on the title to display the template with all the information describing the selected source of support.

Note: There will be a delay of up to 2 hours between a NAMA being recorded in the registry and it being searchable, while the search engine indexes new results.

5. Workflows

The uploading and updating of NAMAs and information on support follows a number of steps known as workflows. This chapter describes the workflows relating to NAMAs and information on support which users should follow to create, manage and update entries within the registry.

5.1 Workflows relating to NAMAs

As already noted, the registry contains separate sections for NAMAs seeking support for preparation; NAMAs seeking support for implementation; and other NAMAs, for recognition. All NAMAs follow the same steps before being recorded in the relevant section of the registry. An additional set of steps has been designed to indicate that a NAMA has received support.

5.1.1 Creating, submitting, approving and editing a NAMA

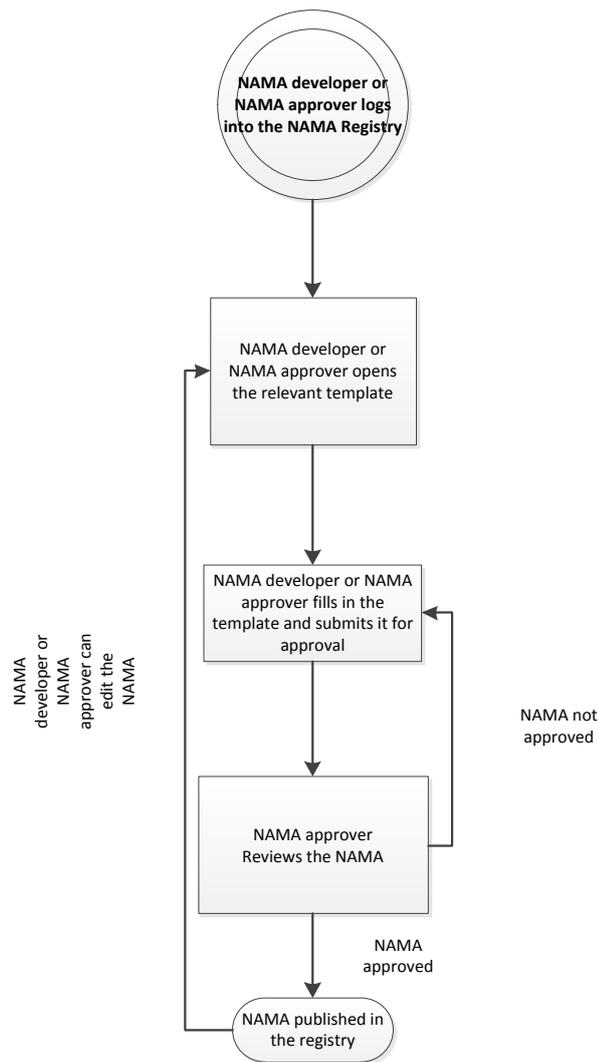
A NAMA entry for a country can be created by any person who has received access rights as a NAMA approver or a NAMA developer. NAMAs submitted by NAMA developers require approval by the NAMA approver before they can be recorded in the registry. The process of creating an entry for a NAMA and submitting it to the registry will follow these steps:

- The user should log into the system;
- The system will load the user’s home page;
- To create a new entry for a NAMA, the user should select the appropriate option from the “Create” menu:
 - NAMA seeking support for preparation;
 - NAMA seeking support for implementation;
 - Other NAMAs, for recognition;
- The system will load the relevant template to enable the user to insert all the information that describes the NAMA. There are no mandatory fields apart from the NAMA title;
- The user may save the information at any time. If he or she decides to save the form and work on it later before submitting it for approval, he or she would need to click on **Save**;
- NAMAs created by NAMA developers will require approval before being recorded in the registry. To this end, after the template has been completed, the NAMA developer should submit the NAMA for approval by clicking on **Submit**;
- The NAMA approver will be notified of this NAMA submission and, after checking it, he or she can decide whether it can be recorded or not. The NAMA approver will have the right to edit any of the information contained in this NAMA before approving it. A NAMA that has

been created and submitted by a NAMA approver will be recorded directly without the need for approval;

- If the NAMA is not approved, the NAMA approver should click **decline** to send the NAMA back to the NAMA developer together with a comment explaining the reasons for rejection. The NAMA developer would need to address the comments made by the NAMA approver and resubmit;
- If the NAMA is approved, an entry containing all its information, the date of recording and an identifier, will be created in the registry;
- At any time, after a NAMA has been approved, the NAMA approver or the NAMA developer may edit or update his or her NAMAs via the “My recorded NAMAs” option in the “Review” box;
- The user should select the relevant NAMA from the list. The system will load the template to allow the user to make changes to the information;
- After the revision has been completed, the user can either save or submit the NAMA. The same process described above will apply (see figure 3).

Figure 3. Creating, submitting, approving and editing a NAMA



5.1.2 Changing the support status of a NAMA

As noted in the introduction, the registry should also record internationally supported mitigation actions and associated support.

The above objectives will be met by allowing NAMA approvers and NAMA developers to specify the sources and amounts of support received within the templates of their NAMAs. The identification of the source of support is done by selecting entries on **Information on support** that have already been uploaded to the registry by a support editor.

With regards to associated support, NAMAs seeking support for preparation and implementation are classified as follows:

- **Support not received**, if they have not received any finance, technological or capacity-building support;
- **Support partially received**, if they have received some, but not all, the finance, technological or capacity-building support they seek;

- **Support received**, if they have received all the support they were seeking. NAMA developers and approvers can change status to support received by selecting the relevant NAMA under “My recorded NAMAs” and clicking on “**mark as not looking for support**”.

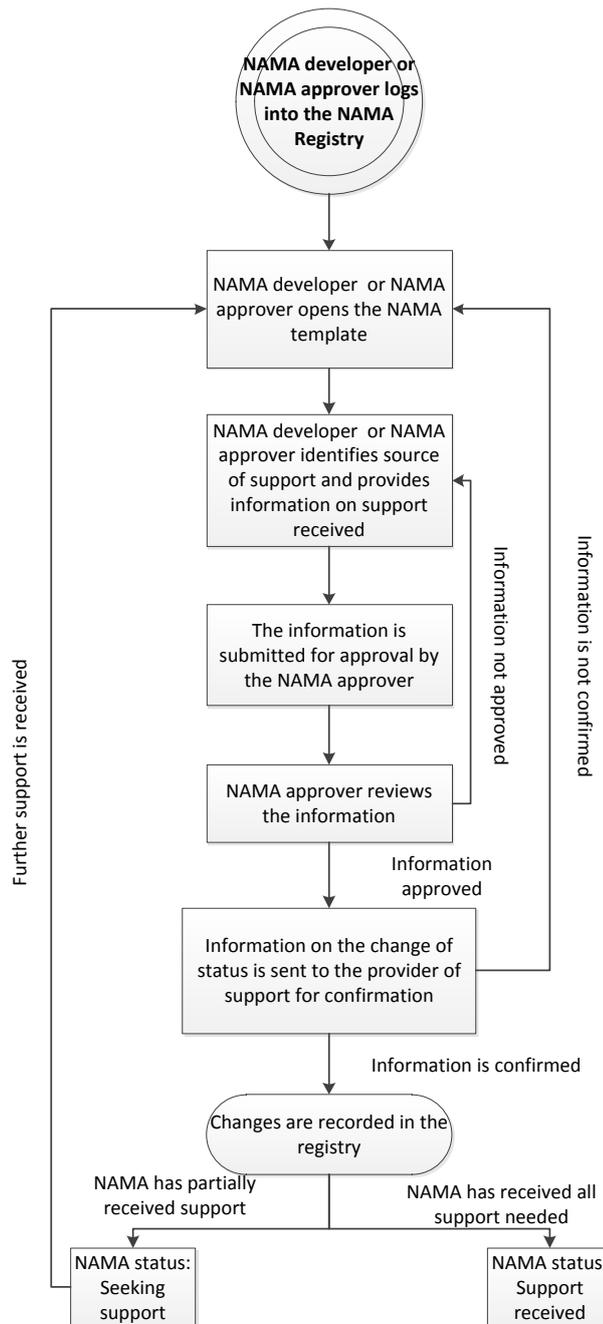
Support provided to a NAMA can be entered into the registry by NAMA developers, NAMA approvers or support editors. When a NAMA approver or developer enters that support was received this will require confirmation from the relevant support editor. Similarly when a support editor enters that support was provided

5.1.2.1 Identifying support received (NAMA developers and editors)

NAMA developers and NAMA approvers should follow the steps:

- The user should log on to the system;
- The system will load the home page;
- To provide information on support received, the user should select **My recorded NAMAs** from the **Review** Menu. The system will display the list of recorded NAMAs;
- The user should click on the relevant NAMA to open the template and click “**identify support received**” on the right-hand side. He or she will be requested to provide information on the source, the amount and type of support received. Once this information has been added, the user should click on “**Submit for confirmation**”;
- Changes and information relating to support provided by NAMA developers will require approval by the NAMA approver;
- The NAMA approver will decide whether the changes should be incorporated or not;
- If the changes are not approved, the NAMA approver has the option of sending of the request back to the NAMA developer with comments. The NAMA developer should address the comments made by the NAMA approver and resubmit;
- If the changes are approved by the NAMA approver, he or she clicks “**submit for confirmation**”. The system will seek confirmation from the support source that has been identified before proceeding;
- The support editor will receive an e-mail indicating that a NAMA has identified his or her source of support together with its amount. By clicking on the link in this email, the support editor will check this information and decide whether to confirm it clicking “**confirm information**” or sending the request back for modification by clicking “**send back with comments**”;
- If the changes are confirmed, the system will proceed to record the changes;
- If the changes are not confirmed, the system will send an automatic e-mail to the NAMA developer with comments that should be addressed. The NAMA developer would need to address the comments by the support provider and resubmit.

Figure 4. Providing information on support received



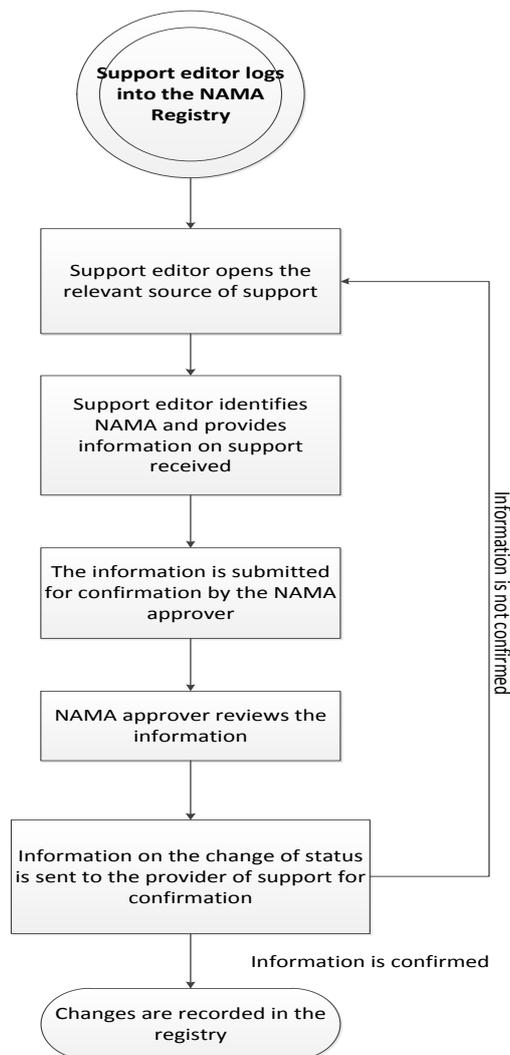
5.1.2.2 Identifying support received (Support editors)

Support editors should follow the steps:

- The user should log on to the system;
- The system will load the home page;
- To provide information on support received, the user should select the source of support from their list of “my recorded entries” and select **identified support provided**.

- He or she will be requested to provide information on the source, the amount and type of support received. Once this information has been added, the user should click on **Submit for confirmation**;
- The NAMA developer or approver will receive an e-mail indicating that a support editor has identified support for the NAMA and the amount and type. They will check this information and decide whether to confirm it;
- If the changes are not confirmed, by the NAMA developer or NAMA approver, an e-mail explaining the reasons for rejection will be sent to the support editor. The support editor should address the comments and resubmit;
- If the changes are confirmed, the system will proceed to record the changes;
- If the changes are not confirmed, the system will send an e-mail to the support editor with comments that should be addressed. The support editor would need to address the comments by the support provider and resubmit.

Figure 5. Providing information on support provided

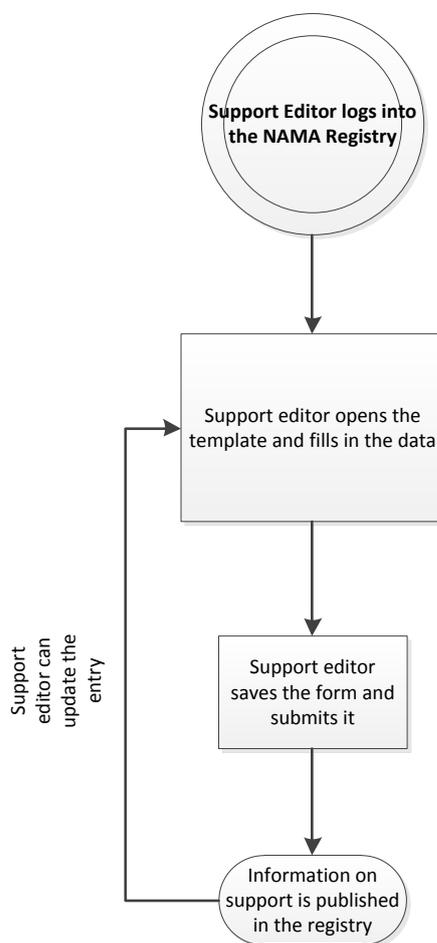


5.2 Workflow relating to creating information on support

Information on support entries can be created by any person that has been granted rights as a support editor. The process of submission follows these steps:

- The user should log on to the system;
- The system will load the home page;
- To create a new entry for information on support, the user should select “information on support” from the create box;
- The system will load the submission template to enable the user to insert all the information that describes the source of support. There are no mandatory fields;
- The user may save the information at any time. If he or she decides to save the form to work on it later before submitting it for recording, he or she would need to click on **Save** ;
- After the template has been completed, the support editor should submit the template by clicking on **Submit**;
- An entry containing the information on support will be recorded in the registry;
- At any time, the support editor has the option of editing or updating the information their entries on sources of support . To this end, the user should select My recorded entries in the “review” box.
- The user should click on the title of the relevant entry from the list. The system will load the template to allow the user to make changes to the information;
- After the edition has been completed, the user can either save or submit the entry. The same process described above will apply (see figure 5).

Figure 6. Creating an entry on information on support



6. Managing the registry via email

The registry includes an option for developing countries to record and edit NAMAs using e-mail. Managing the registry via e-mail may be useful for those countries with low band width and/or limited access to the internet. It should be noted that Parties which decide to manage their NAMAs via e-mail will be able to switch to managing their NAMAs through the registry; however, **it will not be possible to switch back to e-mail once this decision has been taken.**

The management of NAMAs via e-mail is done under simplified arrangements for roles of access and workflows. The secretariat will act as an intermediary to incorporate all information into the registry for the Party.

6.1 Roles

The creation, editing and deletion of NAMAs will be performed through the national focal point. No other formal roles are foreseen. The roles and responsibilities under this system will be as follows:

- The role of NAMA approver will be performed by the national focal point;

- The role of NAMA developer will be performed by any actor that wishes to formulate a NAMA to be recorded in the registry (see below).

6.2 Create and record a NAMA via email

The templates for submitting information to the registry are available for download on the registry home page (no access rights are required for download). The creation and recording of a NAMA via e-mail follows these steps (see figure 6):

- To create a NAMA, the actor should download one of the following templates from the registry website:
 - NAMAs seeking support for preparation;
 - NAMAs seeking support for implementation;
 - Other NAMAs, for recognition;
- He or she should complete the template and send it via e-mail to his or her national focal point;
- Upon its receipt, the focal point should review the information and, if approved, send it via e-mail to <NAMA-Registry@unfccc.int>;
- The secretariat will receive the submission and create an entry in the registry by copying the information submitted to it into the relevant template;
- After the entry has been created, the registry will generate an e-mail with the completed form as an attachment. This e-mail will be sent to the focal point with a request for confirmation;
- The focal point should reply to this email by either confirming that the entry information is correct or providing comments or corrections to the form;
- If the focal point confirms the information, the secretariat will proceed to record the NAMA in the registry; otherwise the secretariat will address the comments by the focal point. In the latter case, the system will automatically generate another e-mail to the focal point with a new request for confirmation;
- The focal point will receive a notification informing him or her of the recording of the NAMA together with the code that identifies it.

6.3 Edit a NAMA via email

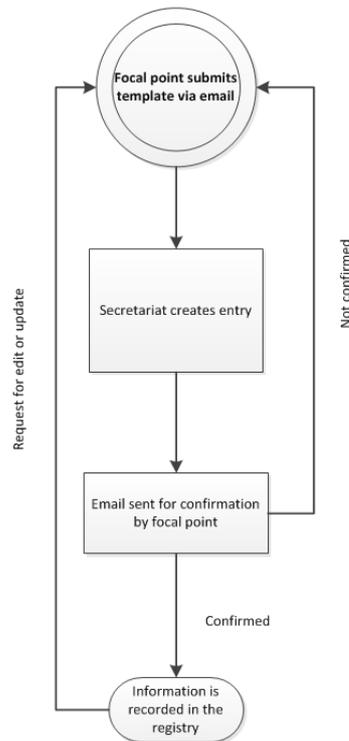
It is recommended that the users of the registry and the national focal point keep copies of the Microsoft Word versions of the NAMAs that have been recorded.

At any time, the focal point, or the person who created the NAMA, may edit the information on their NAMAs that have been recorded in the registry. The process of editing a NAMA follows these steps:

- The person that created the NAMA should make the changes directly in the file that was submitted to the secretariat for recording. He or she should complete the template and send it via e-mail to the focal point of his or her country;

- Upon receipt, the focal point should review the information and, if approved, send it via e-mail to <NAMA-Registry@unfccc.int>;
- The process will follow the same steps as described under chapter 6.2 above.

Figure 6. Creating and editing NAMAs via e-mail



6.4 Delete a NAMA

To delete a country's NAMA, the national focal point should send an e-mail to <NAMA-Registry@unfccc.int> with this request. In this e-mail, he or she should indicate the code that identifies the NAMA. After receiving this e-mail, the secretariat will delete the NAMA.

6.5 Informing that support has been received by email

The provision of information on support received follows these steps (see figure 7):

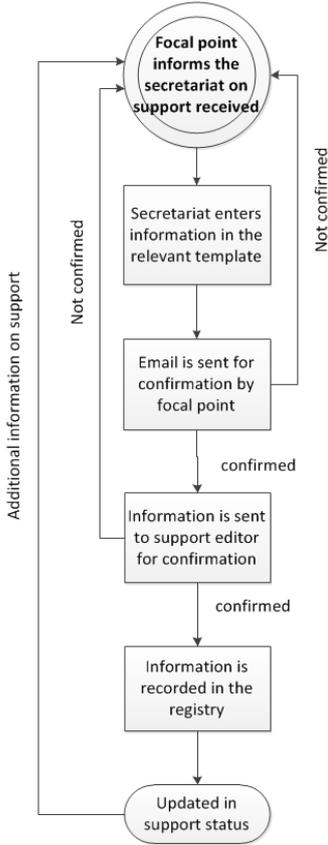
- The national focal point should e-mail the secretariat with the following information:
 - The code of the NAMA that has received support;
 - The source of support (title and, if known, code within the registry);
 - The kind of support received (finance, technology or capacity-building);
 - The amount of support received;
 - If applicable, the type of support (for example, for financial support indicate whether it was a grant, a loan or other);
 - The date the support was received;
- The secretariat will receive this information and will enter it into the relevant template;

- After the information has been entered, the registry will generate an e-mail to be sent to the national focal point with a request for the information to be confirmed;
- The national focal point should reply to this e-mail by either confirming the information or providing comments or corrections to it;
- After receiving confirmation from the national focal point, the secretariat will also confirm the information in the registry;
- The support editor will receive a message indicating that the source of support of a NAMA has been identified together with the amount and type. The support editor will check this information and decide whether to confirm it;
- If the changes are confirmed, the system will proceed to record them and, if relevant, change the support status of the NAMA;
- If the changes are not confirmed, the system will send an e-mail to the focal point with comments that should be addressed. The focal point would need to address the comments made by the support provider and resubmit.

7. Trouble shooting

Should you encounter any technical problems when working with the registry, do not hesitate to send an email to NAMA-registry@unfccc.int. Please provide as many details as possible in your email and indicate the type of problem in the subject. The UNFCCC secretariat will make all efforts to resolve your problems as soon as possible.

Figure 7. Providing information on support received via e-mail



Part II: Submission of information to the NAMA registry

1. Introduction

Nationally Appropriate Mitigation Actions (NAMAs) were initially referred to under paragraph 1.b.ii of the Bali Action Plan (BAP). The process established under this plan was requested to address enhanced national/international action on mitigation of climate change, including, inter alia, consideration of nationally appropriate mitigation actions by developing country Parties in the context of sustainable development, supported and enabled by technology, financing and capacity-building, in a measurable, reportable and verifiable manner.

The COP, at its sixteenth session, agreed that developing country Parties will take NAMAs in the context of sustainable development, supported and enabled by technology, financing and capacity-building, aimed at achieving a deviation in emissions relative to ‘business as usual’ emissions in 2020.⁶

What constitutes a NAMA is a matter for national governments to decide. This flexibility has enabled Parties to consider several types of actions which range from national objectives through strategies, programs and policies, to investment projects.⁷ For additional information on these types please refer to Annex I.

The following pages provide a brief explanation of the different fields which compose the templates for submitting NAMAs and information on support to the registry. The intention is to provide a starting point to the user regarding the type of information that could be submitted. Users of the registry are invited to take into account the explanations contained in this manual when filling in the relevant templates. They are also invited to note the following:

- There are no mandatory fields; however, users are encouraged to consider the benefits of providing as much information as possible.
- Users of the registry have the freedom of deciding where to include the information of their entries on NAMAs and support. For example, a proponent of a NAMA may decide to incorporate all available information within the field entitled “description” while leaving the rest of the template empty. Please note, however, that this may lessen the effectiveness of the search functions, in particular the filter of information.
- Users will have the option of uploading multiple documents. NAMA entries may be complemented with documents such as technical background information, implementation plans, information on MRV or any other that is considered relevant.
- Some fields require the selection of options. The registry allows for selecting more than one of them. In the case of drop down menus, multiple options can be selected by holding the <ctrl> key as you click on them.
- If a list of options does not include one that suits your submission, please select “other” and provide a name for the new category. This will help us improve the registry in the future. Please note that the options currently included in the registry are generic and are intended to cover a wider range of options.

2. Filling in the NAMA templates

Decision 2/CP.17 invites developing countries to provide information on individual NAMAs seeking international support and on other individual NAMAs for their recognition. Paragraph 46 of this decision provides further detail on the type of information for the particular case of

⁶ Paragraph 48, decision 1/CP.16.

⁷ For more information see documents FCCC/AWGLCA/2011/INF.1 and FCCC/AWGLCA/2012/MISC.2 and Add.1.

NAMAs seeking international support. This paragraph has been used as the basis to develop all the templates relating to NAMAs.

In accordance with the decision 2/CP.17 and comments made by Parties on the design of the Prototype of the registry, three electronic templates have been incorporated into the registry:

- **NAMAs seeking support for preparation.** This template should be used if the NAMA has not been formulated and financial or technical support are required to prepare it. It is recommended that users of the registry have a clear idea of the type of action they wish to formulate, the sector and, if applicable, the technology.
- **NAMAs seeking support for implementation.** This template should be used if the NAMA has been already formulated and it is ready to receive finance, technology and/or capacity building for implementation. It is recommended that the entry is created once the formulation process has been completed and all the information on objectives, activities, costs, finance and reporting is clear and robust.
- **Other NAMAs for recognition.** This template should be used for NAMAs that will be implemented unilaterally by developing countries and, therefore, no support is being sought.

Each individual NAMA should have its own entry in the registry. In case you have a program with multiple actions, you may consider creating a separate entry for the entire program as well as individual entries for each individual action. The decision of how many entries to create would depend on the overall approach of the country to mitigation action as well as the objective set for recording the NAMA in the registry.

Linking expenditures to activities

Before submitting a NAMA seeking support for implementation, check whether there is a clear link between support sought and specific activities. In some cases, such linkage may be difficult to establish; for example, national objectives and policies may be achieved not through direct actions but indirectly through policies or projects. You may therefore decide to record broader objectives and strategies as “other NAMAs, for recognition”, as well as to record policies or projects to meet them as “seeking support for implementation”.

The following pages provide a brief explanation of the fields that form a NAMA entry. Many of these fields are applicable to all NAMAs (e.g. seeking support for preparation or implementation, or for recognition). For this reason, the information provided herein is organized by field and not by NAMA type. The text specifies to what type of NAMA the field is applicable to.

To ease reading of the pages below, please refer to Annex III which includes an index of the different templates of the registry and the page and chapter where an explanation for the different fields can be found.

2.1 Party

This field applies to

- NAMAs seeking support for preparation
- NAMAs seeking support for implementation
- Other NAMAs, for recognition

- Identify the developing country Party or Parties that are preparing or implementing this NAMA.

- If a developed country participates through the provision of support, a separate entry should be created under the section on support. Subsequently, the “NAMA developer” or “NAMA approver” should identify this source of support following the workflow described in part I.

2.2 Title of the mitigation action

This field applies to

- NAMAs seeking support for preparation
- NAMAs seeking support for implementation
- Other NAMAs, for recognition

- Provide a short title for your NAMA, which is descriptive enough to capture the attention of people browsing the registry. This title could, for example, mention the type of NAMA or the technology used.

2.3 Description of the mitigation action

This field applies to

- NAMAs seeking support for preparation
- NAMAs seeking support for implementation
- Other NAMAs, for recognition

- Provide a description of the NAMA to be prepared or implemented. This description should specify the objective of the NAMA, the type of activity to be implemented and any other information you consider necessary to explain your NAMA in general terms.
- Additionally, to enable the functioning of the filter, users of the registry by clicking the appropriate option within the following fields:
 - *The sector:* the NAMA registry uses a typology of sectors based on the categories used by the continuation of Working Group III to the Fourth Assessment Report of the IPCC: Energy supply; transport and its infrastructure; residential and commercial buildings; industry; agriculture; forestry; and waste management. If your NAMA cuts across various sectors, you have the option of selecting multiple ones.
 - *The type of action:* As noted in the introduction, NAMAs can take very different forms. Specifying the type of activity is important as programs of support generally have restrictions on the type of actions they are targeted at; for example, a program designed to support policies will not be able to provide support for a project which requires funds to purchase equipment. For an explanation of the different types please refer to annex I.
 - If relevant, *the technology:* the registry uses broad groups of technologies to enable the different search functionalities. If the technology to be used does not fit any of the categories listed, please identify a new category under “other”. Please note that a NAMA may be relevant for a technology even if the NAMA is not in itself a direct investment for that technology. For example, a policy to increase the share of wind energy relates to wind energy technologies although it may not include direct investments in wind turbines.
 - *The greenhouse gases covered* by the mitigation action: depending on the sector and the specific activity, the NAMA may lead to direct or indirect reductions of different greenhouse

gases. Please indicate the gas or gases whose emissions will be covered by the NAMA. The following gases are can be identified: carbon dioxide (CO₂), methane (CH₄), nitrous oxide (N₂O), hydrofluorocarbons and fluorinated gaseous compounds (HFCs, PFCs and SF₆). An option to identify other gases is also available.

2.4 National implementing entity

This field applies to

- NAMAs seeking support for preparation
- NAMAs seeking support for implementation
- Other NAMAs, for recognition

- Please provide full contact details of the entity in charge of preparing or implementing the NAMA.
- You have the option of identifying multiple implementing agencies (up to three in total). Please note that any communication emerging from the workflows of the registry will use the email addresses of all agencies identified as implementing agencies.
- Details of the implementing agency will help those interested in providing support to a NAMA to get in contact with the NAMA proponents. Please insert full contact details, including one or several email addresses of people who could respond any enquiries of a given NAMA.

2.5 Expected timeframe for the preparation of the mitigation action

This field applies to

- NAMAs seeking support for preparation
- NAMAs seeking support for implementation
- Other NAMAs, for recognition

- Indicate the expected number of months required to complete the preparation of the NAMA. In general terms, the process of preparation should deliver a NAMA that is ready to receive support and be implemented.

2.6 Expected timeframe for the implementation of the mitigation action

This field applies to

- NAMAs seeking support for preparation
- NAMAs seeking support for implementation
- Other NAMAs, for recognition

- The timeframe of the NAMA could be interpreted as the expected length of the project, starting from the initiation of activities (for example, construction works in the case of infrastructure investments) through to its closure. Indicate the total number of years as well as the expected starting year.
- If the NAMA is not attached to a timeframe, you may decide to leave this field blank.

2.7 Used currency

This field applies to
<input checked="" type="checkbox"/> NAMAs seeking support for preparation
<input checked="" type="checkbox"/> NAMAs seeking support for implementation
<input checked="" type="checkbox"/> Other NAMAs, for recognition

- Please select the currency in which all monetary figures within your template are expressed.
- The registry allows the user to select its own currency. If NAMAs have been formulated using a national currency, this can be selected from the drop down menu. The unit of currency to use depends on several factors, including expectations on exchange rates, possible sources of finance and others.
- Please note that the registry will provide an indicative conversion into US dollars. These conversions are not official.

2.8 Costs

2.8.1 Estimated full cost of preparation

This field applies to
<input checked="" type="checkbox"/> NAMAs seeking support for preparation
<input type="checkbox"/> NAMAs seeking support for implementation
<input type="checkbox"/> Other NAMAs, for recognition

- Please indicate the costs associated with the preparation of your NAMA proposal. These costs should be specified in the currency selected under 2.7 and should include the costs of all activities involved in the conceptualization and preparation of a NAMA, for example:
 - Background and feasibility studies
 - Technical assessments and designs
 - Consultations with stakeholders
 - Selection and prioritisation of NAMAs
- When estimating these costs, users are encouraged to provide best estimates and, if possible, provide additional information on how these costs were determined.
- Under *comments*, please provide any other information you consider relevant for the user to better understand the calculation of costs for preparation, for example:
 - Specific activities and related costs
 - Timeframe for each activity
 - Studies and background information already available
 - Other

2.8.2 Estimated full costs of implementation

This field applies to
<input type="checkbox"/> NAMAs seeking support for preparation

<input checked="" type="checkbox"/> NAMAs seeking support for implementation <input checked="" type="checkbox"/> Other NAMAs, for recognition
--

- Please indicate the estimated total costs that would be incurred in the implementation of your NAMA during its entire lifetime. Such costs would generally include:
 - Pre-operation activities (legal, administrative and other costs);
 - Initiation of activities and/or construction works
 - Operation and maintenance
 - Debt service, if relevant
 - Closure

- Full costs of implementation should reflect the totality of expenditures required for the operation and closure of a NAMA. The approach to costing a NAMA depends on the type of action, its characteristics in terms of geographical and temporal boundaries, and scope. It is suggested that you limit the costing of your NAMA to the costs incurred strictly by the entity or entities in charge of implementing it. Costs incurred by the actors affected by the NAMA could be explained under “comments”.

- It is also recommended that the different cost items are made explicit, in particular if support is being sought. The discrimination of these items may facilitate the assessment of support needs as well as the identification of potential sources.

- Comments: in this field any additional information relating to the costs of a NAMA can be inserted. For example:
 - Details of the different expenditures
 - Timing of the different expenditures
 - Information on the approach, data sources and methodologies followed to estimate costs
 - Information on revenues: NAMAs may also receive revenues (for example, a solar plant may receive revenues for the sale of electricity). Being explicit about this revenue may also help you in estimating support needs and identifying support sources.
 - Economic costs: the implementation of the NAMA may lead to broader costs to the national economy or to a group of third Parties. In general terms, sectoral and macro-economic evaluations could be used to assess related costs for national and sectoral goals and strategies.

2.8.3 Estimated incremental costs of implementation

This field applies to <input type="checkbox"/> NAMAs seeking support for preparation <input checked="" type="checkbox"/> NAMAs seeking support for implementation <input checked="" type="checkbox"/> Other NAMAs, for recognition

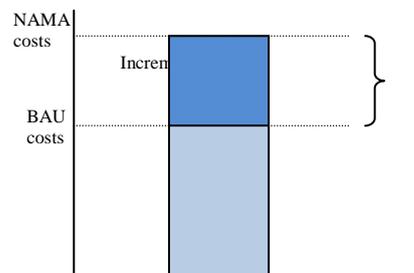
- Please indicate the incremental costs of the implementation of the NAMA.

- In financial terms, incremental costs refer to the increase or decrease in cost as a result of one or more units of output. The concept could also be used to refer to the costs of delivering the same good or level of service with an extra benefit whereas monetary or of other sort.

- A definition for incremental costs under the UNFCCC does not exist. Users of the registry are invited to estimate the costs incurred in delivering mitigation outcomes and consider whether such costs could be treated as incremental costs.

- For the Global Environmental Facility (GEF) *incremental' or additional costs associated with transforming a project with national benefits into one with global environmental benefits; for example, choosing solar energy technology over coal or diesel fuel meets the same national development goal (power generation), but is more costly.*⁸
- In this line, incremental costs could be evaluated by comparing the costs of delivering a good or service under “business as usual” versus the costs of delivering the same good or service with extra mitigation outcomes (see figure 9).
- Under comments, please provide any other details you consider relevant for users of the registry to better understand your approach to estimating incremental costs, for example:
 - The timeframe for the calculation of incremental costs
 - Methodological basis for the calculation
 - Assumptions

Figure 9. Understanding incremental costs



- Users of the registry should note that incremental costs are not always easy to define or calculate. It becomes particularly challenging with actions that have broader scopes, such as strategies or policies. In some cases, incremental costs could be equal to the total costs of the project. This is the case when the proposed action implies a completely new pathway or the delivery of goods or services not included under business as usual. Examples include a new climate change policy or a project to reforest an area which otherwise would have remained fallow.

An example on incremental costs

A country plans to meet its electricity demand with new combined cycle gas turbine power plants. It proposes a mitigation action to finance solar panels to replace some of the gas generating capacity. The full levelized cost of generating electricity with solar panels is \$150/MWh while that of the combined cycle gas turbine is \$100/MWh. The difference between the two alternatives is \$50/MWh of generated electricity. The incremental costs of the proposed solar panels could be interpreted as being equal to the energy generated by these panels multiplied by the cost difference.

2.9 Support to prepare and implement NAMAs

Decision 2/CP.17 specifies that support for the preparation and implementation of NAMAs should take the form of finance, technology and capacity building.

⁸ See <http://www.thegef.org/gef/policy/incremental_costs>.

- Finance refers to financial support provided by developed country Parties, the entities entrusted with the operation of the financial mechanism, including the Global Environment Facility and the Green Climate Fund, multilateral, bilateral and other public donors, and private and non-governmental organizations. Financial support may be provided under different modalities and using various financial instruments. These modalities and instruments might vary greatly in terms of suitability for the preparation and implementation of specific NAMAs.
- Technology. The IPCC defines technology transfer as a broad set of processes covering the flows of know-how, experience and equipment for mitigating and adapting to climate change. It comprises the process of learning to understand, utilize and replicate the technology, including the capacity to choose and adapt to local conditions and integrate it with indigenous technologies. It is suggested that, for the purposes of providing information to the registry, technology support relates only to equipment (hard-ware), while the processes of technological know-how and learning (soft-ware) are covered under the capacity building.
- Capacity building. According to the IPCC, capacity-building is developing the technical skills and institutional capabilities in developing countries to enable their participation in all aspects of adaptation to, mitigation of, and research on climate change. Capacity-building interventions take place at three levels, individual, institutional and systemic, as described in chapter 2.9.1.2 below. Depending of the type of a NAMA, capacity-building for its development and/or implementation may be required at one or several levels.

2.9.1 Support required to prepare the mitigation action

These fields apply to

- NAMAs seeking support for preparation
- NAMAs seeking support for implementation
- Other NAMAs, for recognition

2.9.1.1 Financial support

- Under amount of financial support, please indicate the total amount of financial resources that are needed to prepare the NAMA. The value should be in the currency that you have selected to use.
- Under type of financial support, please indicate the type of financial support that you require to prepare your NAMA. The definitions for each category are found in annex II.
- Under comments, please provide any other information that you consider relevant to better understand your needs for financial support. For example, you could provide details on the specific use of the resources and/or a rationale for the type of finance being sought.

2.9.1.2 Capacity building/technical support

- Under amount of capacity building support, please indicate the amount of capacity-building support you require to prepare the NAMA (e.g. number of personnel trained, institutions strengthened or established, e-learning programmes developed, policy or scientific know-how

shared, etc.). In addition, you may express the amount of support required in monetary or man/hour terms.

- Under type of capacity building support, please select the option that applies to the type of capacity building support you seek. The following box provides an explanation of the different types of capacity-building support.

Different levels of capacity building

- *Individual level*: capacity-building is the development of technical and scientific skills and expertise and the improvement in accountability and motivation of relevant personnel.
- *Institutional level*: capacity-building is the strengthening or establishment of relevant institutions and organizations, including their missions, mandates, cultures, structures, competencies, processes, human and financial resources, information resources and infrastructures.
- *Systemic level*: capacity-building is the creation of enabling environments, that is, the overall policy – economic and regulatory – and the accountability frameworks within which institutions and individuals operate. The development of relationships and processes between institutions, both formal and informal, is also a form of capacity-building at this level.

- Under comments, please insert here any information you consider relevant for the reader to better understand your needs for capacity building support. For example, you could provide a rationale for your selection of the type and the level of capacity-building support required, and your preferred ways of delivery of this support.

2.9.2 Support required to implement the mitigation action

This field applies to

- NAMAs seeking support for preparation
- NAMAs seeking support for implementation
- Other NAMAs, for recognition

2.9.2.1 Financial support

- Under amount, please indicate the total amount of financial resources that are needed to implement the NAMA. The value should be in the currency that you have selected to use.
- Under type of financial support, please indicate the type of financial support that you require to implement your action. The different types of financial support are described in Annex III.
- The type and amount of financial support depends on several factors including the type of action, the total cost of the NAMA and its overall budget (e.g. costs and benefits). A recipe for selecting types of financial instruments does not exist; however, it is likely that a combination of them be used, particularly for large infrastructure projects.
- Under comments, please provide any other information that you consider relevant to better understand your needs for financial support. For example, you could provide details on the following:
 - A rationale for the selection of the type of financial support
 - The specific activities that will receive the finance
 - The timing at which finance will be required during the lifetime of your NAMA finance.

- Information relating the sustainability of the financial state of your NAMA
- If any, own contributions (and type, for example, financial or in-kind resources)

Financial versus other types of support: Generally, technology and capacity building support may be expressed in monetary terms. If this is the case, NAMA users may decide to include all types of support under “financial support” and include a single amount for all types. The details can be explained under “comments on financial support” while the fields for other types of support are left empty.

2.9.2.2 Technological support

- Under amount of technological support, please indicate the resources that you would require for the purchase of technology. The value should be in the currency that you have selected to use.
- The type of technology should have been identified at the beginning of the form by marking the appropriate options.
- Under comments, please insert here any information that you consider relevant for the reader to better understand your needs for technology. For example, you can include details such as the type of equipment, technical requirements, constraints and any other relevant information.

2.9.2.3 Capacity building

- Under amount of capacity building support, please indicate the amount of capacity- building support you require to implement the NAMA (e.g. number of personnel trained, institutions strengthened or established, e-learning programmes developed, policy or scientific know-how shared, etc.). In addition, you may express the amount of support required in monetary or man/hour terms.
- Under type of capacity building support, please select the option that applies to the type of capacity building support you seek. For an explanation of the different types of capacity building support please refer to chapter 2.9.1.2 above.
- Under comments, please insert any information you consider relevant for the reader to better understand your needs for capacity building support. For example, you could provide details on the following:
 - A rationale for the selection of the type and the level of capacity-building support;
 - The specific activities in the NAMA that require capacity-building support before they can be implemented;
 - Your preferred way of delivering the required capacity-building support;
 - Information on how a long-term sustainability of the capacity built will be ensured;

2.10 Outcomes of NAMAs

This field applies to

NAMAs seeking support for preparation

NAMAs seeking support for implementation

Other NAMAs, for recognition

- Like any investment, NAMAs are expected to deliver outcomes. The ability to identify, describe and document them can provide benefits, for example, it may increase the capacity of governments to manage the national development process; to prioritize and decide where resources deliver more benefits; and to access finance. On this latter, sources of support generally require transparent information on the benefits that their support generates to the recipient.
- Outcomes and benefits are measured through the use of indicators. Guidance in this regard is provided by paragraph 46 of decision 2/CP.17, which invites Parties to provide information on:
 - Estimated emission reductions
 - Other indicators of implementation
 - Other relevant information, including co-benefits for local sustainable development
- Indicators can be quantitative or qualitative. The selection primarily depends on the objective of the action, its scope and specific circumstances of implementation. Detailed background information on this matter is not required by the registry, however, users are encouraged to consider the benefits of providing additional documentation on the selection of indicators, methodologies used, assumptions and other.

2.10.1 Estimated emission reductions

- “Emission reductions” is a quantitative indicator which provides information on the emissions of greenhouse gases that would be reduced if a NAMA is implemented.
- In this field please provide an estimate of the emission reductions that your NAMA expects to deliver during its lifetime. Estimates should be provided in Mt CO₂ eq. per year. An option to express these reductions in cumulative reductions for the lifetime of the project is also available.
- The approach and methodologies depends on the type of action to be implemented as well as the objective set for the estimation of the emissions itself.
- In general terms, emissions reductions can be estimated by comparing a scenario without the NAMA (business as usual) with one in which the NAMA is implemented. Depending on the type of action, the following may be required to perform such estimation:
 - **The Boundaries** define the sources of emissions that would be included in the estimation in terms of time; scope (e.g. sector or technology); greenhouse gases; and geographic and/or jurisdictional boundaries.
 - **The scope** would define if only direct emission reductions are to be considered (e.g. total reductions resulting directly from the activities financed or supported within the NAMA), or also indirect ones (e.g. reductions which cannot be directly measured and attributed to the NAMA but which are considered to be influenced by the NAMA, particularly in the long term).
 - **The baseline** provides an estimation of the emissions that would have occurred if the NAMA is not implemented. It can be constructed as a projection of historical emissions; however, such a projection should take into consideration economic, sociological, and technological factors and their behaviour in the future.
 - **The NAMA scenario** describes the emissions that would occur as a consequence of the implementation of the NAMA, considering all activities and how these are likely to affect emissions.

- In general terms, two approaches could be used to develop the baseline and NAMA scenario:
 - A **top-down** estimation uses aggregate economic data and large Computable General Equilibrium models used in economic and policy planning. Top-down models may be more appropriate for policies and programmes that cut across several sectors.
 - A **Bottom-up** estimation uses detailed data on activities to model individual sectors and subsectors. In general terms, they are more appropriate for individual projects or sectoral/ subsectoral policies and programs.
- The level of accuracy by which emission reductions are estimated depends on factors inherent to the NAMA (e.g., capacity and costs of the proponent, type of action and size). In addition, requirements set from outside may also be relevant to determine the level of accuracy (e.g., any guidance provided by a potential source of finance). In general terms, a higher level of accuracy is required when an action is subject to performance-based incentives or penalties which require detailed measurement of greenhouse gases. For example, the CDM requires a high degree of accuracy as emission reductions are issued as certified emission reductions (or CERs).

The IPCC tier system

A tier represents a level of methodological complexity. The guidelines usually provide three tiers: Tier 1 is the basic method, Tier 2 intermediate and Tier 3 most demanding in terms of complexity and data requirements. Tiers 2 and 3 are sometimes referred to as higher tier methods and are generally considered to be more accurate. Following is a brief description of the three tiers for the Energy sector:

- Tier 1 uses average emission factors for the different fuels
- Tier 2 uses country specific factors for the different fuels
- Tier 3 uses detailed emission models and measurements and data at the individual plant level

2.10.2 Other indicators of implementation

This field applies to

- NAMAs seeking support for preparation
- NAMAs seeking support for implementation
- Other NAMAs, for recognition

- “Emission reductions” is not the only indicator that could be used to provide information on the outcomes of a NAMA. Such outcomes may be directly relevant to mitigation or to benefits in other areas such as social development, health and others. It is suggested that “other indicators of implementation” are used to convey information on mitigation outcomes (different from emission reductions) and that other types of indicators are addressed under “other relevant information, including co-benefits for local sustainable development” (see chapter 2.10.3).
- In this field you may specify which indicators, other than emission reductions, have been selected to provide information on the expected mitigation outcomes of a NAMA.
- The amount of indicators relating to mitigation which could be used is large. Identifying and selecting these indicators also depends on factors inherent to the NAMA (for example, objectives and scope) as well as requirements set from the outside (for example, indicators required by a government agency or specified by a provider of support).

- Some indicators are general and may be used to convey information on how a NAMA could enhance the capacity of a country to reduce emissions. For example, they could be used to illustrate changes in the energy matrix of a country; the GHG intensity a sector or region; gains in efficiency in a particular context; or provide information on the capacity of a country in terms of institutions, human capital or others.
- Other indicators are specific to an action and may be used to convey information on the achievement of an objective or the completion of an activity of a NAMA (for example, installed capacity of wind energy by a project, or hectares of forests planted).
- The field allows you to include as many indicators as you consider necessary. It is important to specify the unit used and, if relevant, the expected result. For example, if "installed capacity of solar energy" is the indicator, a relevant unit (e.g., MW) and expected result (e.g., 10 MW) may also be specified.

2.10.3 Other relevant information, other information, including co-benefits for local sustainable development

<p>This field applies to</p> <p><input type="checkbox"/> NAMAs seeking support for preparation</p> <p><input checked="" type="checkbox"/> NAMAs seeking support for implementation</p> <p><input checked="" type="checkbox"/> Other NAMAs, for recognition</p>
--

- As noted in the introduction, NAMAs generate a number of benefits beyond mitigation outcomes. In this chapter you may consider to identify these benefits as well as the indicators that have been selected to convey information on them.
- As with mitigation outcomes, the list of indicators on co-benefits can be extensive. Their identification and selection will depend on external factors and factors inherent to the NAMA. In broad terms you may consider to use indicators relating to:
 - Health, for example, percentage reduction in a specific lung disease
 - Social and economic issues, for example, jobs generated
 - Environment, for example, reduction in the levels of a given pollutant
 - Other

2.11 Links to national policies and other NAMAs

<p>This field applies to</p> <p><input checked="" type="checkbox"/> NAMAs seeking support for preparation</p> <p><input checked="" type="checkbox"/> NAMAs seeking support for implementation</p> <p><input checked="" type="checkbox"/> Other NAMAs, for recognition</p>

- NAMAs submitted to the registry may have been formulated in the context of other initiatives such as national or sectoral policies or programs. Some of these broader initiatives may have also been considered as NAMAs by a Party.

2.11.1 Relevant national policies

<p>This field applies to</p> <p><input checked="" type="checkbox"/> NAMAs seeking support for preparation</p> <p><input checked="" type="checkbox"/> NAMAs seeking support for implementation</p>

Other NAMAs, for recognition

- Insert links or references to national or sectoral policies that you consider relevant for the NAMA that is being submitted. You could provide a description of these policies or a link where more information can be found.

2.11.2 Links to other mitigation actions

This field applies to

- NAMAs seeking support for preparation
- NAMAs seeking support for implementation
- Other NAMAs, for recognition

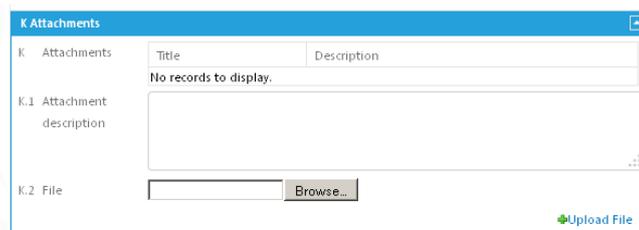
- If the NAMA to be submitted is being implemented in the context of another NAMA that has been recorded in the registry, the user will have the option to identify that NAMA in this field.
- Please select from the drop down menu the identifier number of the NAMA.

2.12 Attachments

This field applies to

- NAMAs seeking support for preparation
- NAMAs seeking support for implementation
- Other NAMAs, for recognition

- The template allows the user to upload accompanying documentation. There are no limits to the amount of documents that can be uploaded, however, please bear in mind that the size of the document may affect uploading and downloading times.



- Documents that you may wish to upload to provide further details may include:
 - Available feasibility studies and/or background documentation
 - Design documents and technical specifications
 - Methodological basis used for estimating, for example, costs, needs for support or outcomes including emission reductions
 - Records of meetings and consultations with various groups
- To upload a document, first add the description of the document in the text box. Then press **browse** to locate and select the document you wish to upload, finally press upload. All documents and descriptions will appear in a tabular format at the end of the template.

2.13 Support received

This field applies to
<input checked="" type="checkbox"/> NAMAs seeking support for preparation
<input checked="" type="checkbox"/> NAMAs seeking support for implementation
<input type="checkbox"/> Other NAMAs, for recognition

- Where a NAMA has received support from an entity that is not listed in the registry the template allows this to be entered directly by the NAMA approver or developer. This can be done by entering the details of support received in the “outside the registry” box.
- In the space available, provide details on type, amount and recipient of support from the relevant entry.
- Where support has been provided by an entity listed as a source of support in the registry then information on support received should be entered via the steps set out in 4.2.2.2. When this is done, the information on support received will appear under the “within the registry” section of the description of the relevant NAMA.

3 Filling in the template for information on support

Decision 2/CP.17 invites the submission of information on financial, technology and capacity-building support available and/or provided for the preparation and implementation of NAMAs. This information can be submitted by:

- Developed country Parties through their national agencies and programs, including ministries, bilateral agencies and other government entities
- National development banks
- The entity or entities entrusted with the operation of the financial mechanism, including the Global Environment Facility and the Green Climate Fund
- Other climate funds
- Multilateral and regional development banks
- Private entities, such as banks, funds or other.
- Non-governmental organizations and other private philanthropic sources

Paragraph 48 of decision 2/CP.17 provides further details on information on support and, therefore, has been used as the basis to develop the template to submit this information to the registry.

When considering the submission of information on support into the registry, providers of support may wish to note that the term NAMA is specific to the UNFCCC. However, programs of support with a focus on mitigation which do not specifically mention the term NAMAs in their objectives or modalities may also be relevant to NAMAs. Organizations, entities and Parties are invited to create entries for those programs within the registry.

3.1 Sources of support

With a view to simplifying the submission of information on support, sources of support from developed country Parties can follow two different routes:

- Support can be provided to NAMAs directly by a government agency, such as a ministry, a department or a bilateral agency; or

- Support can be provided to a NAMA using an intermediary, such as a multilateral agency, bank, a fund or any other mechanism which is independent from the source government.

In addition, support for NAMAs is not restricted to public sources. Any organization (foundations, banks or others) which has established programs of support using their own resources can also create entries into the registry without the need to identify a source Party.

3.1.1 Support title

- Enter the title of the support program for NAMAs.

Note: There are no limits on the number of support programs that can be created by a single organization or agency. It will be up to the organization to decide how many entries it wishes to create for support programs or lines. For example, if a program consists of different components or lines which are different in terms of scope and applicability, the organization may decide to create individual entries for each.

3.1.2 Support description

- Provide a short description of the support program or line, indicating the main objectives, the activities that can be supported, sectors and regional scope and any other information that you consider important to describe the support offered.

3.1.3 Party or Parties

- Select the Party (or Parties) which are the source of the provision of support. If the program is supported by more than one Party, several countries can be selected.
- If the source of support is not linked to a government, leave this field empty.

3.1.4 Government entity providing the resources

- If the support is directly provided by a public entity, please indicate the name of the entity and identify a contact person who could provide information on the support program.
- If the support is provided through an intermediary, please leave this field empty.

3.1.5 Organization channelling the resources

- This field should be filled by any organization that
 - Is serving as an intermediary to channel funds from a government to a NAMA; or
 - Has established a program to support NAMAs using its own resources or those of a third Party.
- If the organization is channelling public resources, the Party or Parties should be identified in the previous field.
- If the support is to be provided directly by a government agency to a NAMA, this empty should be left empty.

- Details of the implementing agency will help those interested in receiving support to get in contact with the support provider. Please insert full contact details, including one or several email addresses of the people who could respond any enquiries.
- In this field, the contact information of the agency or organization directly providing support to NAMAs should be included. If the support is being channelled by an organization, contact details of the organization should be included here only.

3.1.6 Type of organization

- Indicate the appropriate type of organization by selecting one or multiple options.

3.2 Used currency

- Please indicate the currency used for any financial support to be provided through your programme. Please note that the registry will also provide the value in US dollars (see chapter 2.7 above).

3.3 Support available

- Support can be delivered as finance, technology and capacity building. Each should be described in terms of type and amount. There is also the ability to include a maximum amount of support per NAMA.
- Additionally, the registry includes a field for inserting comments to allow the provider of support to include any information required to better understand the support being provided.
- Please identify if your support program is applicable to the preparation or implementation of NAMAs, or both (see chapter 2, above)

3.3.1 Regional scope

- Select the region to which the support program applies. Multiple options can be selected.
- Under target country, if relevant, please identify the country (or countries) to which the program applies.
- Under comments, please provide additional information on the regional scope, for example, if the program applies only to a sub division of the categories selected above (e.g. East Africa).

3.3.2 Financial support

- Under Amount of financial support, please indicate the total amount of financial resources that are available under your program. The value should be in the currency that you have selected.
- Under type of financial support, please indicate the type of financial support offered by your program. The categories are explained in Annex II.
- Under comments, please include any information you consider relevant for users of the registry to better understand your program. For example, you could provide further details on:

- Eligibility criteria
- Minimum and maximum amounts being offered
- Percentages of total costs and requirements for leveraging
- Conditions under which the support is to be provided
- Other requirements

3.3.3 Technological support

- Under amount of technological support, if relevant, please indicate the amount of your program, in the currency selected. Please also indicate if this amount is included under financial support.
- Under type of technological support, please indicate the type of technology or technologies of your program.
- Under comments, please insert here any information that you consider relevant for the user of the registry to better understand your program of support. For example, you can include details such as the type of equipment, technical requirements, constraints and other.

3.3.4 Capacity building support

- Under amount of capacity building support, please indicate the amount of your program, in the currency selected. Please also indicate if this amount is included under financial support.
- Under type of capacity building support, please indicate the type or types of capacity-building support available through your programme. For an explanation of each category please refer to chapter 2.9.1.2 above.
- Under comments, please insert any information that you consider relevant for the user of the registry to better understand your program of support. For example, you can include details such as the type and scope of training courses, learning materials and programmes, possibility to organise experience exchange workshops, etc.

3.4 Types of actions that may be supported

- In this chapter, please identify the sector and the type of action that may be supported. Multiple options may be selected. If the list of options does not fit your program, you may identify one that does.
- The NAMA registry uses a typology of sectors based on the categories used by the continuation of Working Group III to the Fourth Assessment Report of the IPCC: Energy supply; transport and its infrastructure; residential and commercial buildings; industry; agriculture; forestry; and waste management.
- A description of the types of actions is found in annex II.

3.5 Process for the provision of support

- Please provide a brief overview of the process to apply to your program of support. You could, for example, indicate the broader framework under which your program operates, the channels and steps to be followed, and the expected timeframes for approval and other. Finally, you could also provide a link where further information is available.

3.6 Attachments

- The template allows the user to upload accompanying documentation. There are no limits to the amount of documents that can be uploaded, however, please bear in mind that the size of the document may affect uploading and downloading times.
- Documents that you may wish to upload to provide further details may include:
 - Details of the program
 - Available modalities and procedures
 - Requirements and conditions
 - Available forms or other documentation required to apply for the support
 - Other
- To upload a document, first add the description of the document in the text box. Then press **browse** to locate and select the document you wish to upload, finally press upload. All documents and descriptions will appear in a tabular format at the end of the template.

The screenshot shows a web form titled "K Attachments". It features a table with columns for "Title" and "Description". The table is currently empty, displaying "No records to display." Below the table, there is a section for "K.1 Attachment description" with a large text area. To the right of this text area is a "Browse..." button. Below the "Browse..." button is a section for "K.2 File" with a text input field and a "Browse..." button. At the bottom right of the form, there is a green "Upload File" button.

3.7 Information on support provided

- Where support has been provided to a NAMA not recorded in the registry, support editors have the option of including in the template information on this support. This information can be entered in the in the “Outside the registry section” box.
- In the space available, provide details on type, amount and recipient of support from the relevant entry.
- Where support has been provided to a NAMA listed in the registry, information on support provided should be entered in the registry via the steps set out in 4.2.2.5.

Annex I: Types of activities

With a view to understanding the diversity of NAMAs and facilitating the submission of information into the registry, this annex provides an overview of the different types of NAMAs submitted by Parties. The objective of this information is not to provide guidance on what may or may not constitute a NAMA. The distinction between different types of NAMAs may facilitate the matching function of the registry as sources of support generally have restrictions on the type of actions they can support. **Users of the registry are invited to consider this classification; however, they are not obliged to use it as they prepare NAMAs or use the registry.** They are also invited to identify additional categories, in case existing ones do not match their NAMAs.

National quantified goals are quantified objectives to reduce GHG emissions or undertake any other activity which has an impact on emissions, for example, increasing the share of renewable energy. As quantified objectives, these goals state an end result and do not specify measures to achieve it. They may be defined at the national, sub national level or sectoral level and can be expressed in different manners. Some Parties have expressed their goals using greenhouse gas emissions as the main indicator. Examples include:

- Relative to a reference year, for example, achieve a 20% reduction in GHG emissions by 2020 compared to 2002 levels;
- Relative to business-as-usual, for example, achieve a 30% reduction below business-as-usual emissions in 2020
- Relative to another indicator, for example, lower CO₂ emissions per unit of GDP by 30% by 2020 compared to 2005 levels

Other Parties have communicated goals in non-GHG terms. They have expressed them as absolute targets, for example, “reduce net deforestation of primary forests to zero” or “achieve carbon neutrality”; or in relative terms, for example, reach a 15% share of non-fossil fuels in primary energy consumption by 2020.

Strategies are comprehensive plans of measures and actions undertaken by governments that aim to achieve long-term mitigation objectives. They provide the overarching framework under which a set of mitigation measures can be undertaken. A strategy’s most distinguishing feature is that it sets out a long term vision for nations, sectors or regions. Examples include:

- National and regional climate strategies, for example, national action plan on climate change, climate compatible development plan.
- Technology strategies, for example, plan to develop the use of photovoltaics.
- Sectoral strategies, for example, development of urban transport plans or plans to increase use of renewable energy.

Programs and policies are concrete measures undertaken by governments to achieve a specific objective. Implementation is typically led by the public sector and linked to public budgeting and legislative processes. Examples include:

- Regulations and standards, for example, improvement of standards for the construction of buildings.

- Economic or finance schemes, for example, tax incentives for investments in renewable energy
- Labeling and certification programmes
- Certificate and trading schemes

Projects, or bundles of projects, are specific investments undertaken by the private or public sectors with fixed boundaries, clearly defined activities and a financial investment in services, infrastructure or machinery. Some examples include:

- Investments in technology:
 - Renewable energy (e.g. project to install 150,000 solar home systems)
 - Energy efficiency (e.g. efficient motors, buildings insulation, compact fluorescent light bulbs)
 - Fuel switch (e.g. change the fuels used for household stoves and furnaces)
 - Fugitive emissions, carbon capture and storage and other end-of-pipe technologies (e.g. project to utilize methane from landfill sites).
- Investments in infrastructure (e.g. railway projects with trains that run with electricity from renewable energy.)
- Management & systems improvements
 - Better practices (e.g. increase carbon retention in soils through better agricultural practices)
 - Management systems (e.g. improve traffic flow through transit management systems)
- Behavioral change/education (e.g. education of experts/farmers/decision makers with regard to the application of mitigation measures/technologies in the agriculture sector)

Annex II: Types of financial support

- **Grants** are financial resources that do not require repayment by the recipient to the donor
- **Loans** are financial resources in the form of borrowing with the condition for the recipient to repay the principal amount along with interests and other finance charges to the lender. The conditions typically include the term or maturity of the loan, the interest rate, the currency and the collateral.
 - **Sovereign loans** are provided by governments, typically through public entities, where conditions are usually negotiated directly between the government providing the funds and the borrower.
 - **Private loans** are resources to be borrowed from a private lender.
 - **Concessional loans** are provided on terms substantially more generous than market loans. The concessionality is achieved through special conditions that may apply to the interest rate of the loan, the term and timing of repayments, the provisions for collaterals and possibly other conditions.
- **Guarantee** is a legally binding agreement under which the guarantor agrees to pay any or the entire amount due on a loan instrument in the event of non-payment by the recipient.
- **Equity** is the provision of finance in the form of capital and, thus, entailing joint ownership of the project/company.
- **Foreign Direct Investment (FDI)** refers to investment by a resident entity in one economy that reflects the objective of obtaining a lasting interest in an enterprise resident in another economy. The lasting interest implies the existence of a long-term relationship between the direct investor and the enterprise and a significant degree of influence by the direct investor on the management of the enterprise.
- **Carbon finance** are resources provided to a project to purchase greenhouse gas emissions reductions. It can be provided through different financial instruments, like loans, equity, direct investments, purchase of emission reduction credits, etc. and/or a combination of various instruments.

Annex III: Index of template fields

NAMAs seeking support for preparation

Field	Chapter	Page
A Overview		
A.1 Party	2.1	
A.2 Title of Mitigation Action	2.2	
A.3 Description of mitigation action	2.3	
A.4 Sector	2.3	
A.5 Technology	2.3	
A.6 Type of action	2.3	
A.7 Greenhouse gases covered by the action	2.3	
B National Implementing Entity	2.4	
C. Expected timeframe for the preparation of the mitigation action	2.5	
D.1 Used currency	2.7	
E Cost	2.8	
E.1.1 Estimated full cost of preparation	2.8.1	
E.1.2 Comments on full cost of preparation	2.8.1	
F Support required to prepare the mitigation action	2.9.1	
F.1.1 Amount of financial support	2.9.1.1	
F.1.2 Type of required financial support	2.9.1.1	
F.1.3 Comments on Financial Support	2.9.1.1	
F.2.1 Amount of Technical support	2.9.1.2	
F.2.3 Comments on Technical support	2.9.1.2	
F.3.1 Amount of capacity building support	2.9.1.2	
F.3.2 Type of required capacity building support	2.9.1.2	
F.3.3 Comments on Capacity Building Support	2.9.1.2	
G Relevant National Policies strategies, plans and programmes and/or other mitigation action	2.11	
G.1 Relevant National Policies	2.11.1	
G.2 Links to other mitigation actions	2.11.2	
H Attachments	2.12	
I Support received	2.13	

NAMAs seeking support for implementation

Field	Chapter	Page
A Overview		
A.1 Party	2.1	
A.2 Title of Mitigation Action	2.2	
A.3 Description of mitigation action	2.3	
A.4 Sector	2.3	
A.5 Technology	2.3	
A.6 Type of action	2.3	
A.7 Greenhouse gases covered by the action	2.3	
B National Implementing Entity	2.4	
C. Expected timeframe for the implementation of the mitigation action	2.6	
C.1 Number of years for completion	2.6	
C.2 Expected start year of implementation	2.6	
D.1 Used Currency	2.7	
E Cost		
E.1.1 Estimated full cost of implementation	2.8.2	
E.1.2 Comments on full cost of implementation	2.8.2	
E.2.1 Estimated incremental cost of implementation	2.8.3	

E.2.2 Comments on estimated incremental cost of implementation	2.8.3	
F Support required for the implementation of the mitigation action	2.9.2	
F.1.1 Amount of financial support	2.9.2.1	
F.1.2 Type of required financial support	2.9.2.1	
F.1.3 Comments on Financial Support	2.9.2.1	
F.2.1 Amount of Technological Support	2.9.2.2	
F.2.2 Comments on Technological Support	2.9.2.2	
F.3.1 Amount of capacity building support	2.9.2.3	
F.3.2 Type of required capacity building support	2.9.2.3	
F.3.3 Comments on Capacity Building Support	2.9.2.3	
G Estimated emission reductions	2.10.1	
G.1 Amount	2.10.1	
G.2 Unit	2.10.1	
G.3 Additional information (e.g. if available, information on the methodological approach followed):	2.10.1	
H.1 Other indicators of implementation	2.10.2	
I.1 Other relevant information including co-benefits for local sustainable development	2.10.3	
J Relevant National Policies strategies, plans and programmes and/or other mitigation action	2.11	
J.1 Relevant National Policies	2.11	
J.2 Links to other mitigation actions	2.11.1	
K Attachments	2.12	
L Support received	2.13	

Other NAMAs, for recognition

Field	Chapter	Page
A Overview		
A.1 Party	2.1	
A.2 Title of Mitigation Action	2.2	
A.3 Description of mitigation action	2.3	
A.4 Sector	2.3	
A.5 Technology	2.3	
A.6 Type of action	2.3	
A.7 Greenhouse gases covered by the action	2.3	
B National Implementing entity	2.4	
C. Expected timeframe for the implementation of the mitigation action	2.6	
C.1 Number of years for completion	2.6	
C.2 Expected start year of implementation	2.6	
D.1 Used Currency	2.7	
E Costs		
E.1.1 Estimated full cost of preparation	2.8.1	
E.1.2 Comments on estimated full cost of preparation	2.8.1	
E.2.1 Estimated full cost of implementation	2.8.2	
E.2.2 Comments on estimated full cost of implementation	2.8.2	
E.3.1 Estimated incremental cost of implementation	2.8.3	
E.3.2 Comments on estimated incremental cost of implementation	2.8.3	
F Estimated emission reductions	2.10.1	
F.1 Amount	2.10.1	
F.2 Unit	2.10.1	
F.3 Additional information (e.g. if available, information on the methodological approach followed):	2.10.1	
G.1 Other indicators of implementation	2.10.2	
H.1 Other relevant information including co-benefits for local sustainable development	2.10.3	
I Relevant National Policies strategies, plans and programmes and/or	2.11	

other mitigation action		
I.1 Relevant National Policies	2.11.1	
I.2 Links to other mitigation actions	2.11.2	
J Attachments	2.12	

ANEXO N°2:

**CARACTERÍSTICAS DEL PROCESO
PARA APLICAR AL NAMA FACILITY**



Federal Ministry for the
Environment, Nature Conservation,
Building and Nuclear Safety



Department
of Energy &
Climate Change

NAMA FACILITY

General Information Document

This document provides general information on the NAMA Facility, its objective and functioning as well as specific information on the selection process of NAMA Support Projects for funding under the NAMA Facility.

The purpose of the document is to assist national governments of partner countries and delivery organisations (DOs) in preparing to submit NAMA Support Project outlines to the NAMA Facility.

April 07, 2014

NAMA Facility – a joint initiative of the German Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (BMUB) and the UK Department of Energy and Climate Change (DECC)

Content

- 1 The NAMA Facility – What is it all about? 3
 - 1.1 The NAMA concept..... 4
 - 1.2 Means of support provided by the NAMA Facility 4
- 2 NAMA Facility governance and stakeholders..... 7
 - 2.1 The NAMA Facility Board..... 7
 - 2.2 Technical Support Unit 7
 - 2.3 Trustees of the NAMA Facility - KfW and GIZ..... 8
 - 2.4 Qualified delivery organisations..... 8
 - 2.5 Implementing partners..... 11
- 3 The selection process 11
 - 3.1 Submission of project outlines and the Board decision (Step 1) 12
 - 3.1.1 Submission of NAMA Support Project Outlines 12
 - 3.1.2 The NAMA Support Project Outline template..... 13
 - 3.1.3 Selection process and Board decision 14
 - 3.2 Selection criteria guiding the evaluation of NAMA Support Project Outlines (Step 1)..... 14
 - 3.2.1 Eligibility criteria for NAMA Support Project Outlines 14
 - 3.2.2 Ambition criteria for NAMA Support Project Outlines..... 16
 - 3.2.3 Feasibility criteria for NAMA Support Project Outlines..... 18
 - 3.3 In-depth appraisal and the NAMA Support Project Proposal (Step 2)..... 19
 - 3.3.1 Feasibility criteria for NAMA Support Project Proposals 20
 - 3.4 NAMA Support Project implementation (Step 3)..... 22
- 4 Monitoring and evaluation (M&E) 22
 - 4.1 Monitoring and reporting requirements at project level..... 22
 - 4.2 Monitoring and evaluation requirements at NAMA Facility level 23

1 The NAMA Facility – What is it all about?

The NAMA Facility was jointly established by the German Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (BMUB) and the UK Department of Energy and Climate Change (DECC) to provide financial support to developing countries and emerging economies that show leadership on tackling climate change and that want to implement transformational country-led NAMAs within the existing global mitigation architecture in the short term.

The concept of Nationally Appropriate Mitigation Actions (NAMAs) was developed in the context of the international negotiations under the United Nations Framework Convention on Climate Change (UNFCCC). NAMAs are considered to be voluntary climate protection measures taken by developing countries, which are embedded within their national development plans. By moving countries towards a low-carbon development trajectory, NAMAs have the potential to significantly contribute to global efforts to reduce greenhouse gas (GHG) emissions. Simultaneously, they offer developing countries and emerging economies a framework for combining broad-based climate action with the achievement of sustainable development goals. This concept is gaining momentum as many developing countries are already developing NAMAs in the context of their national development strategies and plans.

Up until now, many NAMA support initiatives have focused on the *preparation* of NAMAs and the creation of enabling environments for NAMA implementation (“NAMA readiness”). International finance and support for the *implementation* of NAMAs, however, has been rare. Particularly in the case of highly innovative NAMAs, it has proven difficult to access commercial financing for implementation and thereby deliver concrete reductions in emissions on the ground. As a result, tailor-made climate finance – and also public finance on the part of international donors – is required.

It is the objective of the NAMA Facility to fill this gap. The NAMA Facility aims to support the concrete implementation of highly ambitious projects that fit into the context of a broader NAMA and have the potential to catalyse transformational change towards low-carbon development. With this objective in mind, the founders of the NAMA Facility decided to hold open competitive calls for NAMA Support Project Outlines and select the most ambitious and promising NAMA Support Projects for funding. In line with this objective, the NAMA Facility has no regional or sector focus.

By demonstrating an innovative architecture designed to provide tailor-made support for the implementation of transformational NAMAs, and by feeding the lessons learned into international processes, the NAMA Facility will contribute to the international debate on how to use international climate finance to catalyse transformational change towards sustainable low-carbon development.

The financial contributions to the NAMA Facility by the German and British governments form part of the commitment made by industrialised countries during the UNFCCC climate negotiations in Copenhagen and Cancún to jointly mobilise USD 100 billion per year by 2020 to finance mitigation and adaptation activities in developing countries.

1.1 The NAMA concept

Although a closer definition of NAMAs has not been concluded under the UNFCCC, international dialogues have shown that there is an emerging consensus among developing and developed country governments, practitioners and international donor institutions on some fundamental elements of NAMAs, which serve to strengthen their transformational change potential. According to this consensus:

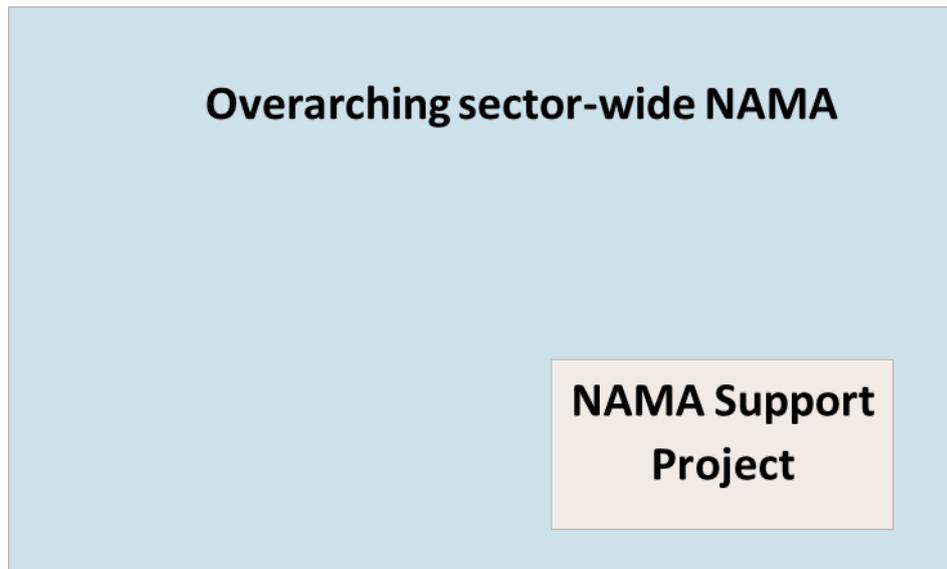
- NAMAs should be country-driven and anchored in national development strategies and plans.
- NAMAs should strive to be sector-wide programmes that are national in scope, even if regional or municipal elements could form part of the overall design.
- NAMAs should consist of a combination of policies and financial mechanisms. Policies should serve to create an enabling environment and channel financial flows into low-carbon investments. Financial mechanisms should serve to address potential barriers for investment and leverage potential public support for mitigation activities.
- International support for NAMAs needs to be flexible in order to provide tailor-made solutions that are appropriate for the circumstances and capabilities of different countries. International funds should be used to enable the implementation of NAMAs and leverage additional public and/or private capital investment. A strategy for self-sustained implementation at national level should be envisaged.

All these elements are reflected in the selection criteria of the NAMA Facility (see section 3.2).

1.2 Means of support provided by the NAMA Facility

In line with the notion that NAMAs are usually thought of as sector-wide programmes that are national in scope, the NAMA Facility will fund so-called NAMA Support Projects (see Fig. 1). Given the overall objective of the NAMA Facility, these are expected to be the most innovative and transformative elements of the overall NAMA within which they are embedded.

Fig. 1: NAMA vs. NAMA Support Project



NAMA Support Projects can apply the full range of development cooperation instruments (see Fig. 2). Given the NAMA Facility's objective of supporting NAMA *implementation*, however, the focus of NAMA Support Projects will be on financial support mechanisms that serve to mobilise capital investments. Technical support and institutional and regulatory capacity development in partner countries may be provided during NAMA implementation if these are combined with or closely linked to financial instruments. The wise combination of technical and financial support will serve to maximise the transformational impact of the NAMA.

Examples of how to combine technical and financial instruments in one NAMA Support Project are available on the NAMA Facility website, www.nama-facility.org/projects.

While financial support provided through the NAMA Facility is generally grant-based, delivery organisations and implementing partners are encouraged to use these grants to set up mechanisms that will provide or unlock other types of financial support (such as concessional loans or guarantee funds) to mobilise additional funding, including private investment in particular. For example, this is possible via KfW as one of the partners in the implementation of the NAMA Facility. The selection of a specific financial instrument, including the level of concessionality of subsidised loans, and the amount of funding provided through the Facility will be decided on the basis of each NAMA Support Project individually.

To finance the full implementation of an overarching sector-wide NAMA, a broader financing concept is required. This might incorporate different sources of funding, including national public funds, private funds and international support. The support provided by the NAMA Facility will only be able to form one element of the broader financing concept (see Fig. 3).

Fig. 2: Means of support provided by the NAMA Facility

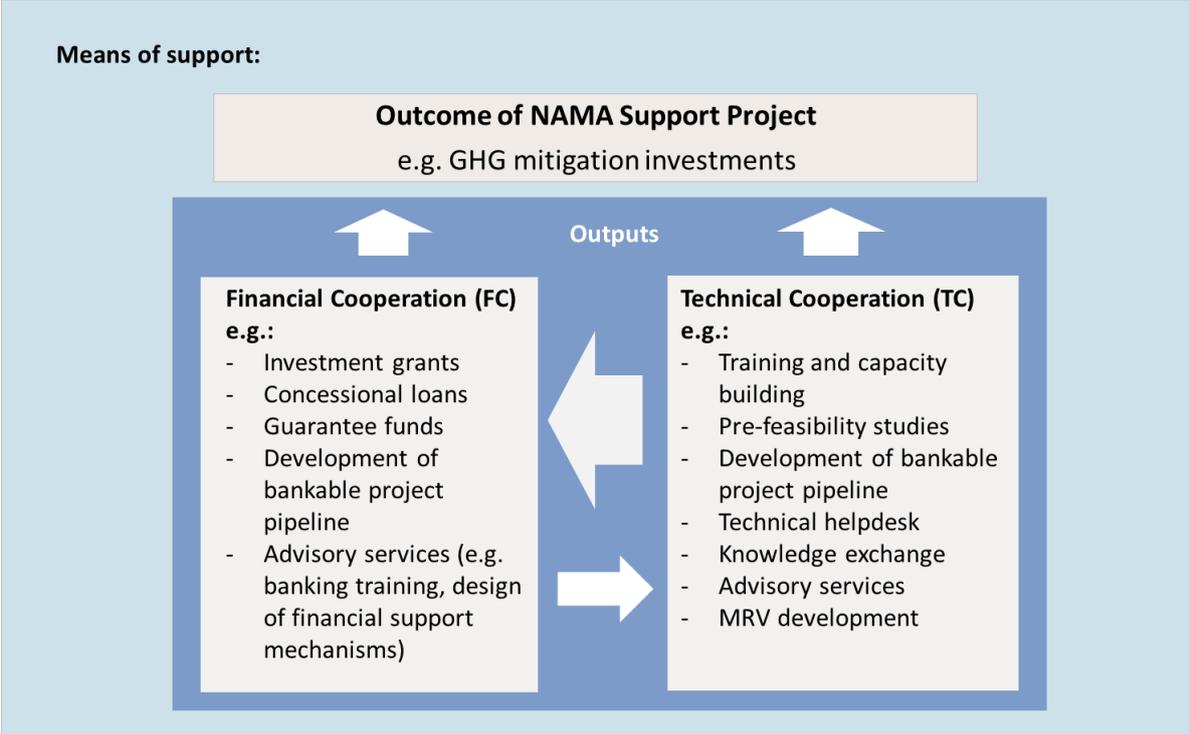
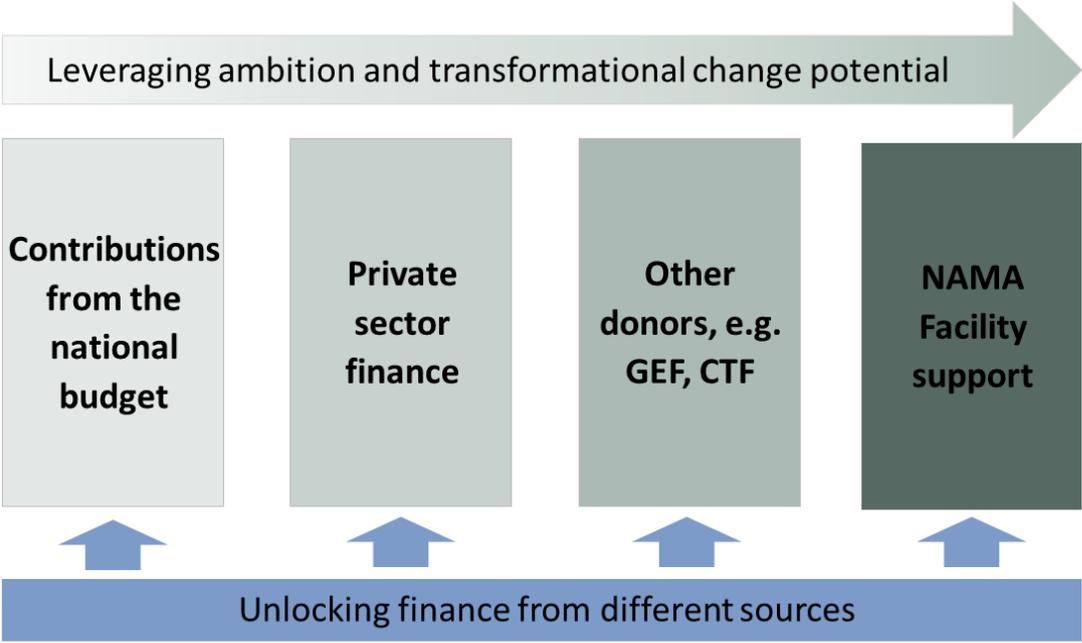


Fig. 3: Financing concept for sector-wide NAMAs

Financing concept for a sector-wide NAMA:



2 NAMA Facility governance and stakeholders

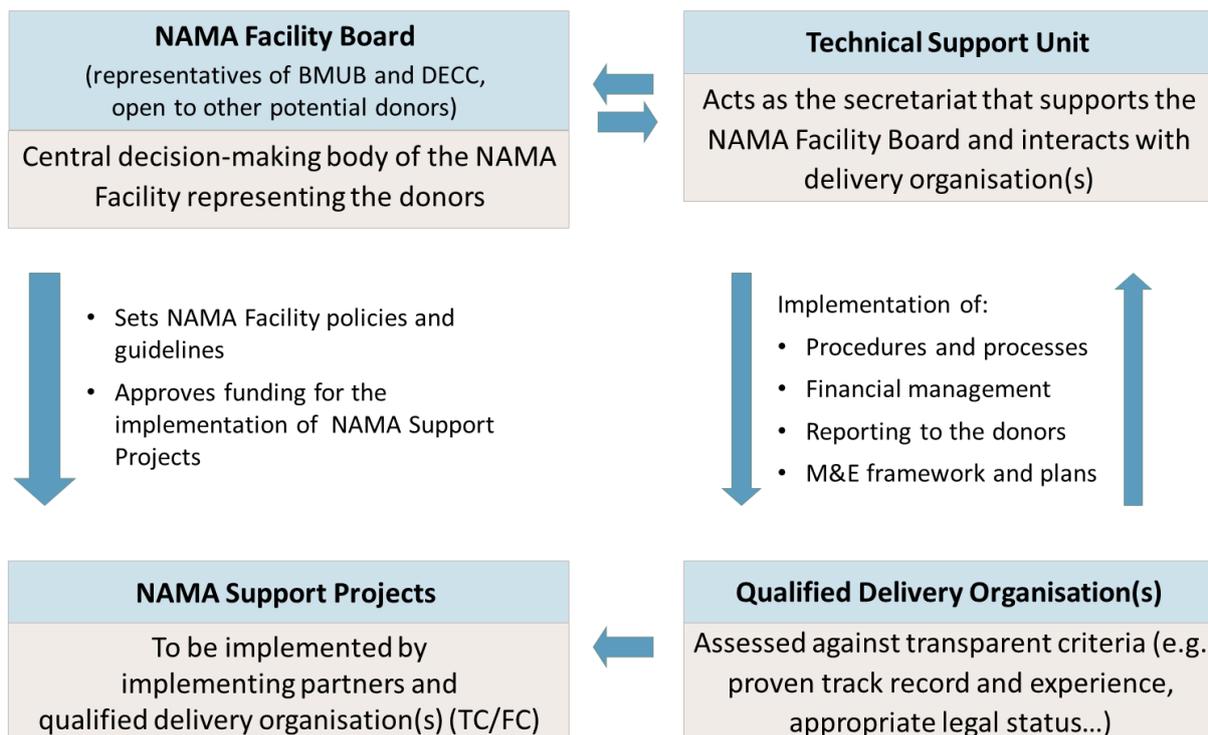
The following section includes a short introduction to the overall governance structure of the NAMA Facility and the stakeholders involved in supporting the implementation of a NAMA Support Project within the framework of the NAMA Facility.

2.1 The NAMA Facility Board

The central decision-making body of the NAMA Facility is the NAMA Facility Board. Currently the NAMA Facility Board comprises representatives from DECC and BMUB, the founders and funders of the NAMA Facility.

The NAMA Facility Board takes all the decisions on strategy, guidelines and selects the NAMA Support Projects for funding.

Fig. 4: NAMA Facility organisational structure



2.2 Technical Support Unit

The Technical Support Unit (TSU) assists the NAMA Facility Board in managing the NAMA Facility. The TSU is the secretariat of the NAMA Facility and the focal point for national governments, delivery organisations and other stakeholders. The TSU is responsible for

organising calls for NAMA Support Project Outlines, evaluating NAMA Support Project Outlines and Proposals and assessing NAMA Support Project reports. It also has responsibility for the financial management of the NAMA Facility and the overall review of the Facility's performance. Bodies that have developed or submitted NAMA Support Project outlines can consult the TSU about their specific projects.

The TSU can be contacted via e-mail at contact@nama-facility.org.

The TSU's postal address is:

NAMA Facility
Technical Support Unit
c/o Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH
Köthener Straße 2-3
10963 Berlin, Germany.

2.3 Trustees of the NAMA Facility - KfW and GIZ

As trustees of the German government, KfW and GIZ are commissioned to implement the NAMA Facility. As part of their mandate, KfW and GIZ can also act as delivery organisations implementing NAMA Support Projects.

If a NAMA Support Project selected by the Board has nominated qualified delivery organisation(s) other than KfW or GIZ, KfW and/or GIZ will subcontract these third-party delivery organisations and channel the funds for the NAMA Support Project appraisal and its implementation. This is necessary in order to safeguard the underlying contractual arrangements of the NAMA Facility and meet donors' requirements.

Generally speaking, the German development bank KfW is responsible for implementing the financial cooperation ("FC") components or for subcontracting third-party delivery organisations to implement the financial cooperation components of a NAMA Support Project. This might include putting financial mechanisms in place such as concessional loans, investment grants, guarantees and related advisory services (see Fig. 2). GIZ, on the other hand, is responsible for implementing the technical cooperation ("TC") components or for subcontracting third-party delivery organisations to implement the technical cooperation component. This might include technical assistance, advisory services, capacity development or policy advice (see also Fig. 2).

2.4 Qualified delivery organisations

NAMA Support Project Outlines need to nominate qualified delivery organisation(s) (DOs). The combination of technical and financial cooperation elements might lead to the involvement of two delivery organisations, one for the FC and one for the TC component.

These will be responsible and accountable for the proper delivery of funds and/or services, the financial and administrative management of the NAMA Support Project (FC/TC), reporting to donors and for monitoring and evaluation of the NAMA Support Project. The architecture of the NAMA Facility means that it is not possible to transfer funds directly to the implementing (government) institution in the partner country.

The NAMA Facility does not require delivery organisations to go through an accreditation process. Instead, it has established the criteria listed below outlining the requirements that delivery organisations need to fulfil in order to qualify as delivery organisations for the NAMA Facility. Eligible delivery organisations can submit outlines for NAMA Support Projects to the NAMA Facility and are qualified to act as delivery organisations for such projects. These criteria do not apply to organisations that will be subcontracted by the delivery organisation(s) to implement certain elements of the NAMA Support Project in the partner country, e.g. consulting companies (see section 2.5).

Delivery organisations that plan to submit a NAMA Support Project or have been asked by a national government to act as a delivery organisation for a NAMA Support Project must comply with the criteria for qualified delivery organisations listed below. Organisations will be assessed on both their general eligibility and their specific eligibility as described below.

Eligibility criteria for qualified delivery organisations

A. General eligibility

During the selection process, the NAMA Facility Board will consider delivery organisations against the following eligibility criteria:

(1) Organisations need to have the capacities to deliver NAMA Facility support:

- be legal entities, **and**
- be not for profit organisations or public institutions or international organisations (in the case of financial cooperation, for profit institutions can also qualify as delivery organisations), **and**
- Show a proven track record of:
 - International presence (this does not apply to national development banks submitting a proposal in cooperation with another organisation that does have an international track record); **and**
 - Expertise in the field of climate change mitigation; **and**
 - Experience with the implementation of ODA and of large-scale programs/projects (> € 5 Mio.) in the field of financial or technical cooperation (in the case of proposals submitted by a consortium, this criterion applies to the organisation delivering financial cooperation only); **and**
 - Experience in working with governments and other public institutions; **and**
- Be able to recruit staff in the respective partner countries (for technical cooperation projects only).

(2) **not be subject to any of the following aspects:**

- They have entered insolvency proceedings, are having their affairs administered by the court, have entered into an arrangement with creditors, have suspended business activities, are the subject of proceedings concerning those matters, or are in any analogous situation arising from a similar procedure provided for in national legislation or regulations;
- They, or persons having power of representation, decision making or control over them, have been convicted of an offence concerning their professional conduct by a judgment of a competent authority which has force of *res judicata*; (i.e. against which no appeal is possible);
- They have been guilty of grave professional misconduct proven by any means which the contracting authority can justify;
- They are not in compliance with their obligations relating to the payment of social security contributions or the payment of taxes in accordance with both the legal provisions of the country in which they are established or those of the country where the contract is being performed;
- They, or persons having power of representation, decision making or control over them, have been the subject of a judgment which has the force of *res judicata* for fraud, corruption, involvement in a criminal organisation, money laundering or any other illegal activity, where such an illegal activities is detrimental to the donor's financial interest.

B. Specific Eligibility

All generally qualified delivery organisations which are applying to deliver financial cooperation projects need to be further assessed for their specific eligibility. For this purpose, all such delivery organisations, which have submitted a NAMA Support Project or have been selected by a government as a preferred delivery organisation and which comply with the general eligibility criteria in section A, will be assessed in a project-specific context. This assessment will follow the standards established for German financial cooperation. The TSU can provide further information on this process where required.

2.5 Implementing partners¹

At national level, the national government's strong involvement and ownership is essential for the success of the NAMA Support Project. Government institutions (national ministries and other sector institutions) must be strongly committed to managing and implementing the NAMA Support Project within the framework of the overarching NAMA.

Implementing partner for technical cooperation (TC):

Implementing partners of the TC component are national (sector) ministries and other public and/or private entities mandated by the national government to implement the NAMA Support Project. An implementing partner actively contributes to achieving the specific objectives of the TC component of the NAMA Support Project (outputs).

Implementing partner for financial cooperation (FC):

Usually a financial institution, such as a regional or national development bank, is involved in designing appropriate financial instruments and allocating funds for the planned measures in the NAMA Support Project. This financial institution will fulfil the role of an implementing agency for the financial cooperation component. The implementing agency must comply with national and international standards and rules accepted in international development cooperation, and must align with the processes and requirements put in place by the NAMA Facility for monitoring and evaluation, reporting etc. Please refer to the specific eligibility criteria for qualified delivery organisations to see the requirements for an implementing agency. Please note that there is no requirement for the implementing agency to be a national institution, but local presence is crucial. Agencies are expected to be existing entities with a proven track record.

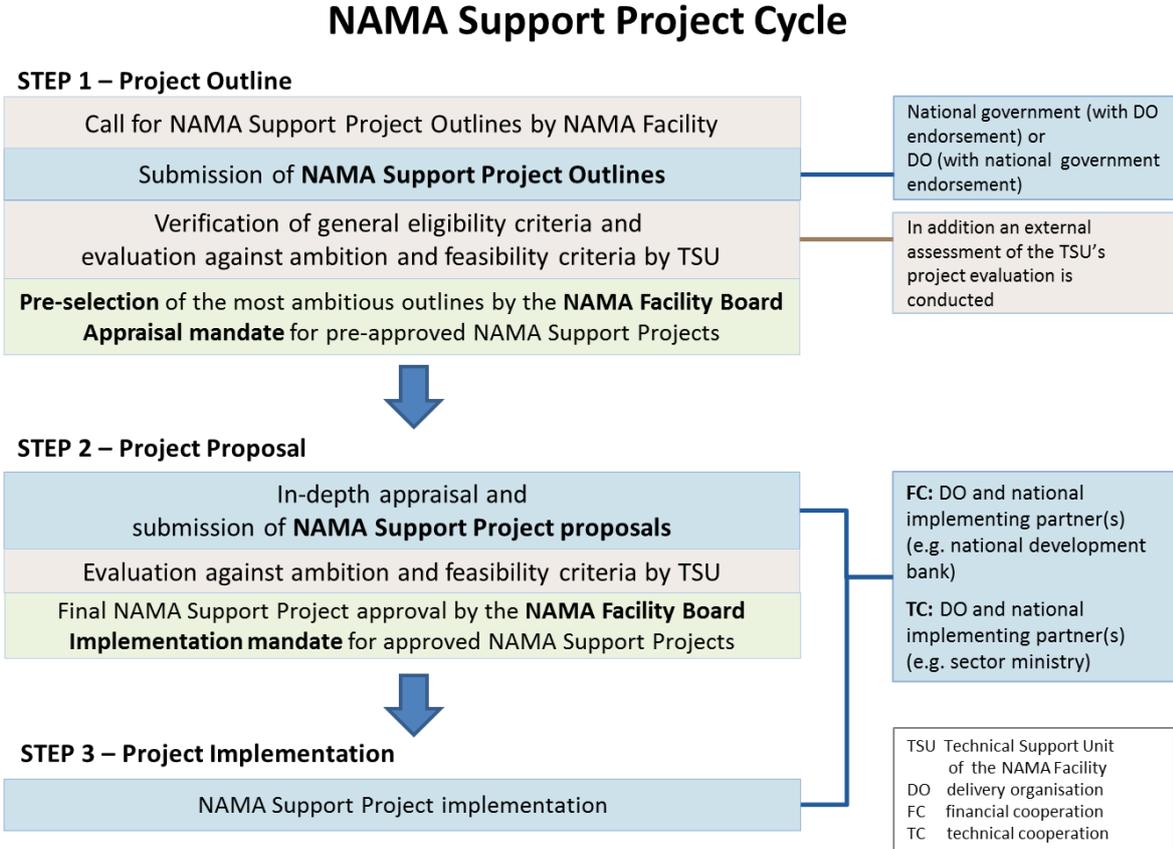
3 The selection process

The NAMA Facility aims to fund the implementation of the most promising and ambitious NAMA Support Projects that are submitted. For this purpose, a transparent and competitive selection process has been developed.

The selection process is initiated by the NAMA Facility Board via a public call for NAMA Support Project Outlines. Generally, the selection and implementation of NAMA Support Projects follows a three-step process. This process is illustrated in figure 5 below and will be further specified in the following sections.

¹ 'Implementing partners' are also referred to as 'implementing organisations' or 'implementing agencies' in the partner countries.

Fig. 5: Selection of NAMA Support Projects and Implementation



3.1 Submission of project outlines and the Board decision (Step 1)

The NAMA Facility invites national governments and delivery organisations to submit NAMA Support Project Outlines via a competitive call for proposals. When a public call for NAMA Support Project Outlines is launched (via the NAMA Facility website and relevant mailing lists), all relevant information and documents will be available on the official website of the NAMA Facility, www.nama-facility.org. When submitting NAMA Support Project Outlines it is mandatory to use the up-to-date templates published on this website. The NAMA Support Project Outline must be submitted in English.

3.1.1 Submission of NAMA Support Project Outlines

In general, outlines for NAMA Support Projects (NSPs) may be submitted by national governments and/or qualified delivery organisations (for the eligibility criteria please refer to section 3.2.1). In order to ensure the full endorsement of the national government and the willingness of the delivery organisation to act as such, the NAMA Support Project Outline should be accompanied by letters of support from both the national government (the

ministry responsible for climate protection including UNFCCC climate negotiations and also the ministry responsible for the sector) and the delivery organisation(s).

For each NAMA Support Project, one or a consortium of qualified delivery organisation(s) must be nominated to support the implementation of the NAMA Support Project. Demonstrating that well-established delivery organisations are responsible for financial and/or technical cooperation will help to ensure that NAMA Support Projects are implemented successfully.

Note: Please consider the criteria for qualified delivery organisations provided in section 2.4.

The full support of the national government is seen as crucial to the success of a NAMA Support Project and its wider impact. Therefore, if a delivery organisation is submitting an outline for a NAMA Support Project, it is essential to provide full evidence of the partner country's support. Furthermore, in-depth consultations with the national government need to take place (see above).

3.1.2 The NAMA Support Project Outline template

The template for NAMA Support Project Outlines provides guiding questions in each section to facilitate the submission of well-structured outlines and ensure comparability.

The template for NAMA Support Project Outlines asks for information on:

- the overall context of the NAMA Support Project and the extent to which it is embedded in an overarching NAMA and/or other national policies and strategies (see. Fig 1),
- the transformational character of the overarching NAMA,
- the (investment) barriers in the sector and how they are addressed by the NAMA Support Project,
- planned activities, outputs, outcomes and impacts,
- the financial mechanism(s),
- the project's (cooperation) structure,
- the detailed budget for the in-depth appraisal of the NAMA Support Project, and
- the estimated budget for the implementation of the NAMA Support Project.

As noted above, the combination of technical and financial cooperation elements might lead to two delivery organisations being involved, one for the FC and one for the TC component. In spite of this formal distinction, it is essential that both components are closely associated with one another. For example, both components should contribute to the joint project goal of the NAMA Support Project (outcome), and a common goal of both components should be presented in the general section of the outline template. In addition to the general section, the outline template includes specific sections in which the technical and financial cooperation components should be presented in more detail.

3.1.3 Selection process and Board decision

All the NAMA Support Project outlines that are submitted will be assessed on a set of selection criteria. Firstly, NAMA Support Projects will be evaluated on general eligibility criteria (as listed in section 3.2.1). These serve to evaluate whether NAMA Support Projects fulfil the basic requirements for the successful implementation in terms of their financial and technical support instruments. Non-compliance with any one of the eligibility criteria will lead to the NAMA Support Project Outline being excluded from further evaluation.

All outlines that meet the eligibility criteria will be assessed on a set of ambition and feasibility criteria (as listed in sections 3.2.2 and 3.2.3). The ambition and feasibility assessment is based on a point-grade system.

The evaluation is conducted by the TSU, which then forwards its assessment to the NAMA Facility Board. The decision as to whether outlines will be pre-approved or rejected is taken solely by the NAMA Facility Board.

The NAMA Facility is fully committed to transparency in terms of its decision-making processes. To ensure that this remains the case, an independent review of the evaluation of project outlines takes place before the NAMA Facility Board reaches its decision in order to guarantee impartiality. For the first bidding round, the independent review was conducted by KPMG and is available [here](#).

NAMA Support Projects that were not selected during a bidding round can be resubmitted in subsequent bidding rounds.

3.2 Selection criteria guiding the evaluation of NAMA Support Project Outlines (Step 1)

The evaluation process is guided by the selection criteria. The NAMA Facility uses different types of criteria:

- eligibility criteria
- ambition criteria
- feasibility criteria

Further details on the three types of criteria used to assess NAMA Support Project Outlines during Step 1 are provided in the following sections (3.2.1, 3.2.2 and 3.2.3).

3.2.1 Eligibility criteria for NAMA Support Project Outlines

Eligibility criteria will be applied during the first step of the selection process (Step 1). These eligibility criteria form the first stage of the selection process: to be considered further, projects will need to meet all the eligibility criteria. Eligibility criteria serve to ensure that the NAMA Support Projects that are outlined fulfil the essential requirements for the successful implementation in terms of their financial and technical support instruments.

Criterion	Definition/explanation/rationale
Formal requirements (yes/no)	Was the NAMA Support Project outline submitted on time, in the right format, in English?
Eligibility of the submitting entity (yes/no)	<p>Was the NAMA Support Project Outline submitted by a national government or a qualified delivery organisation?</p> <p>Comment: This criterion shall ensure the feasibility and quality of the implementation of the NAMA Support Project. For more details, please check the criteria for qualified delivery organisations provided in section 2.4 of this document.</p>
Endorsement by the national government/ letter of support (yes/no)	<p>Does the NAMA Support Project Outline provide written documentation to prove its full endorsement by the national ministry responsible for climate protection, including the UNFCCC climate negotiations, and by the relevant sector ministry or agency?</p> <p>The support letter(s) should contain a specific reference to the NAMA Support Project's title and state the name of the organisation selected to serve as a delivery organisation.</p> <p>Comment: There is widespread evidence suggesting that broad national ownership is a key requirement for the successful implementation of NAMAs.</p>
Cooperation with a qualified delivery organisation/letter of support (yes/no)	<p>Does the NAMA Support Project Outline provide written documentation that a qualified delivery organisation is supporting the NAMA Support Project?</p> <p>The support letter(s) should include the title of the NAMA Support Project and a reference to the national ministry that is responsible.</p> <p>Comment: Since a qualified delivery organisation will be required to facilitate the implementation of a NAMA Support Project, it is essential to secure the support of this delivery organisation prior to submitting the NAMA Support Project Outline. The delivery organisation must be ready to undertake an in-depth appraisal of the outlined NAMA Support Project and produce a fully-fledged project proposal that presents the results of its appraisal to the NAMA Facility Board for final funding approval.</p>
Readiness for implementation (yes/no)	<p>Does the outlined project aim to support the implementation of a NAMA and provide evidence that a reasonable level of project preparation has already been completed? Does the project directly mobilise capital investments?</p> <p>Comment: This criterion seeks to ensure that projects are in line with the objective of the NAMA Facility, which is to offer support for the implementation as opposed to the preparation of NAMAs.</p>
Time frame for implementation (yes/no)	<p>Does the time frame of the outlined NAMA Support Project envisage the project starting within three to twelve months after its pre-approval by the NAMA Facility Board? Does it envisage the NAMA Support Project coming to an end within three to five years?</p> <p>Comment: This criterion shall ensure that selected NAMA Support Projects can be implemented quickly.</p>
ODA eligibility (yes/no)	<p>Do the envisaged NAMA Support Project and any associated investments qualify as ODA?</p> <p>Comment: Funding provided by BMUB and DECC needs to qualify as ODA.</p>

Financing volume (yes/no)	<p>Does the NAMA Support Project Outline envisage overall support of between EUR 5-15million?</p> <p>Comment: This criterion seeks to ensure that NAMA Facility funds will be used to fund a variety of projects that are large enough to achieve transformational change. Bodies that submit project outlines need to explain in detail the funding requirements for the outlined NAMA Support Project, and these will be taken into account when assessing the project on this criterion.</p>
Concept for the phase-out of support (yes/no)	<p>Does the NAMA Support Project Outline provide a feasible plan for the phasing-out of international support?</p> <p>Comment: This criterion seeks to ensure that NAMA Facility support will lead to sustainable, long-lasting results. Support will only be granted if the outline demonstrates when the need for support will come to an end. If future support is required beyond the termination of the project, a feasible plan for seeking such support should be in place.</p>

3.2.2 Ambition criteria for NAMA Support Project Outlines

Ambition criteria are applied to NAMA Support Project Outlines that fully comply with the eligibility criteria listed above. The ambition criteria seek to ensure that the NAMA Facility supports the most ambitious and feasible projects. Projects are assessed via a point-grade system.

Criterion	Definition/explanation/rationale
Potential for transformational change	<p>Does the outlined NAMA Support Project contribute to a transformation of national or sectoral development towards a less carbon-intensive development path?</p> <p>In general, there can be different arguments for the transformational impacts of a NAMA Support Project. The argument for the transformational impact of a NAMA Support Project has to be closely aligned with the specific project and country context, and with the broader context of the country's mitigation strategy/NAMA in the sector.</p> <ul style="list-style-type: none"> - Is the outlined NAMA Support Project part of a broader programme or policy framework that contributes to achieving an ambitious sectoral or national emission reduction target or implementing a low-emission development strategy? Would the achievement of the emission reduction target or implementation of the low-emission development strategies contribute to bringing the target country onto a low-carbon development path? Does the outlined NAMA Support Project fit into a broader context of mitigation activities in the sector? - Does the outlined NAMA Support Project help to change the prevailing structures of the sector that contribute to high emission levels? Please refer to the starting situation of the country and the sector. Does the NAMA Support Project help to overcome systemic barriers to the reduction of emissions, and if so, how? - What transformational impacts does the outlined NAMA Support Project have beyond the scope of the project? - Does the outlined NAMA Support Project develop capacities to reduce future GHG emissions beyond the scope of the project? - Does the outlined NAMA Support Project serve to strengthen the institutional capacities of the national system, as described for example in the aid effectiveness criteria of the OECD/DAC?

	<ul style="list-style-type: none"> - Does the outlined NAMA Support Project envisage the participation and/or development of the private sector? What is the specific contribution of the private sector to transformational change potential? - Does the outlined NAMA Support Project adopt an innovative approach to reducing emissions, which can have impacts beyond the specific NAMA Support Project (e.g. technology transfer)? - Is the outlined NAMA Support Project replicable in terms of its applicability in other regions, countries and internationally? <p>Please note: In line with the UK’s announcement made at the climate change conference in Warsaw, the NAMA Facility does not support coal-related projects except in rare circumstances in which the poorest countries have no feasible alternative.</p>
Sustainable development co-benefits	<p>Does the outlined NAMA Support Project provide additional sustainable development co-benefits beyond the reduction of GHG emissions?</p> <p>Co-benefits are considered a key element for creating country ownership and can have an important impact on the long-term sustainability of a NAMA Support Project. NAMA Support Project Outlines should therefore explicitly state which additional sustainable development co-benefits will be achieved via the NAMA Support Project beyond the reduction of GHG emissions.</p>
Financial ambition	<p>Does the outlined NAMA Support Project envisage or have the potential to mobilise a substantial funding contribution from other (public or private) sources?</p> <p>NAMA Support Project Outlines should specifically detail additional funding contributions leveraged through the outlined NAMA Support Project and, where applicable, within the broader context of mitigation activities in the (sub-) sector that create the backdrop to the NAMA Support Project. This includes both directly mobilised funds and funding that will be mobilised indirectly. The list below includes the different aspects that will be considered when evaluating outlines for NAMA Support Projects. Please note that the financial ambition of a NAMA Support Project will be considered against the specific project, sector and country background.</p> <ul style="list-style-type: none"> - Does the NAMA Support Project reduce or remove market barriers? Please reflect specifically on the financial barriers and the instruments used to address these barriers. - Does the NAMA Support Project provide opportunities for investments in GHG mitigation activities by the private sector? Please specify and quantify these opportunities. - Does the NAMA Support Project envisage a financial contribution from the private sector? How will the NAMA Support Project mobilise private investments? - Does the NAMA Support Project envisage a financial contribution from the host country’s national budget? Please specify the status of the expected financial contribution to the NAMA Support Project. The NAMA Facility encourages contributions from the country’s national budget proportionate to the country’s economic capacity (GDP per capita). If applicable, does the host country provide a financial contribution to a broader range of mitigation activities in the (sub-) sector that create the backdrop to the NAMA Support Project? - With regard to financial contributions from the private sector and the country’s national budget, please refer to the financial mechanism(s) to be applied, if relevant. - Does the NAMA Support Project envisage a financial contribution from other donors? If applicable, do donors contribute to a broader range of mitigation activities in the (sub-) sector?

	<ul style="list-style-type: none"> - Does the NAMA Support Project provide a financially viable phase-out concept?
Mitigation potential	<p>Does the outlined NAMA Support Project envisage substantial direct and indirect GHG emission reductions?</p> <p>NAMA Support Project Outlines should provide estimates for expected reductions in direct GHG emissions as a result of the NAMA Support Project and explain whether and how indirect mitigation effects will be achieved. The mitigation potential of a NAMA Support Project must be aligned to and will be considered against the specific project, sector and country background. This also includes the cost-effectiveness of GHG reductions.</p> <ul style="list-style-type: none"> - Are the underlying assumptions that define the baseline provided in the outline, and are these robust? - Are the calculations of the expected reduction in direct GHG emissions over the course of the project and the projection over the next ten years against the specified baseline robust? - Are the assumptions and calculations relating to indirect mitigation effects robust? - What are the assumptions made when calculating the cost-effectiveness of the planned measures/activities, and how have these figures been derived?

3.2.3 Feasibility criteria for NAMA Support Project Outlines

Feasibility criteria are applied to all the NAMA Support Project Outlines that comply with the eligibility criteria for these outlines. Feasibility criteria seek to ensure that the NAMA Facility supports projects that are not only highly ambitious but also feasible, and therefore promising and likely to be implemented successfully.

This evaluation scheme allows for the ranking of eligible projects according to their overall level of ambition as well as feasibility.

Criterion	Definition/explanation/rationale
National and international embeddedness	<p>Is the current national climate change policy aligned with national (development) strategies and/or (sub-) sector strategies, and relates to international agreements? Is clear evidence provided that the national government will support the NAMA Support Project?</p> <p>Has a legal framework been established that provides enabling conditions for project implementation? Are the technical and financial preconditions met and can project implementation start? Is the targeted sector prioritised in the national emission reduction plan?</p>
Project structure	<p>Is the structure of the NAMA Support Project in itself consistent and convincing? Is the scope of the NAMA Support Project defined? Are the government institutions that are involved clearly identified and committed to the project? Are the roles of the different stakeholders clearly defined and presented? How are stakeholders involved? Are the implementation steps clearly laid out and shown to be feasible? Are the planned methods, mechanisms and/or instruments appropriate for reaching the project goals? Are the proposed measures and/or activities appropriately designed for the</p>

	national context?
Log-frame and monitoring and evaluation (M&E)	<p>Is the log-frame and monitoring and evaluation (M&E) approach consistent with the NAMA Facility’s objectives?</p> <p>Are project hypotheses and goals realistic and measurable?</p> <p>Are the expected long-term impacts, outcomes, outputs and, activities appropriately selected and achievable by the envisaged activities and within the proposed time frame?</p> <p>Do the planned monitoring and reporting activities seem appropriate?</p>
Project finance	<p>Is the project finance and/or budget calculation feasible and consistent with the cost specification?</p> <p>Are the funds requested for the in-depth appraisal adequate, reasonable and consistent with the cost specification?</p> <p>Are the funds requested for implementing the NAMA Support Project adequate and reasonable given the planned activities?</p> <p>Are financial contributions from other sources (national budget, private, other international donors) secured?</p> <p>Is the distribution of funds over the course of the project consistent with the planned activities and implementation steps?</p>

3.3 In-depth appraisal and the NAMA Support Project Proposal (Step 2)

Once a NAMA Support Project has been pre-selected by the NAMA Facility Board, the delivery organisations are mandated to conduct an in-depth appraisal and prepare a detailed NAMA Support Project Proposal.

The delivery organisation(s) will be responsible for conducting an in-depth appraisal and due diligence of the NAMA Support Project and implementing partner organisations so as to ensure the project’s feasibility and produce a robust implementation plan. The in-depth appraisal will be guided by a template for NAMA Support Project Proposals, which will address the main aspects to be appraised.

Appraisal funding will be granted to delivery organisations based on the appraisal costs, as defined in the NAMA Support Project Outline. GIZ and KfW will subcontract third-party delivery organisations in order to safeguard the underlying contractual arrangements and legal requirements of the NAMA Facility, and to support the appraisal process. This includes the appraisal of the specific eligibility of the delivery organisation(s) as specified in the “Eligibility criteria for qualified delivery organisations” in section B (see section 3.4) by KfW and/or GIZ.

The project appraisal must comply with international standards for financial and technical cooperation, and should lead to the presentation of a fully-fledged NAMA Support Project Proposal to the NAMA Facility Board.

To prove that the NAMA Support Project Proposal is fully endorsed by the national government, written documentation must be provided confirming that the relevant national (sector) ministry, the ministry responsible for climate change (including the UNFCCC climate change negotiations) and the public entity responsible for the coordination of Official Development Assistance (ODA) have been consulted on the detailed concept and implementation plan and that they have endorsed this. This documentation must be annexed to the NAMA Support Project Proposal.

The TSU will evaluate the NAMA Support Project Proposal according to the ambition and feasibility criteria and inform the NAMA Facility Board of the results. The NAMA Facility Board will, at its sole discretion, ultimately decide to approve (or reject) the NAMA Support Project Proposal.

Once a project has been approved by the NAMA Facility Board, the delivery organisations will be commissioned to implement the NAMA Support Project.

If third-party delivery organisations are involved, GIZ and KfW in their roles as trustees of the NAMA Facility will subcontract the delivery organisations in order to safeguard the underlying contractual arrangements of the NAMA Facility.

In accordance with international practices, the support of the NAMA Facility will be formalised via an exchange of notes between the lead donor of the Facility and the partner government.

3.3.1 Feasibility criteria for NAMA Support Project Proposals

NAMA Support Project Proposals will be assessed on more stringent feasibility criteria than at the Outline stage. These are as follows:

Criterion	Definition/explanation/rationale
Overall project structure	Is the NAMA Support Project’s structure coherent and convincing? Are the government institutions involved clearly identified and committed to the project? Are the roles and various responsibilities of the different stakeholders clearly set out? Is the cooperation structure clearly laid out? Is the overarching project goal realistic? Does the project fit with the NAMA Facility’s ambition criteria? Do the FC and TC components align with the overarching project goal? Have barriers been identified and clearly addressed by the planned activities?
Overall embeddedness	Is the current national climate change policy aligned with national (development) strategies and/or (sub-) sector strategies, and relates to international agreements? Has the target sector been appropriately described? Is an enabling legal framework in place or being drawn up? Is the proposed NAMA Support Project integrated into the broader context of a NAMA for this sector? Is the NAMA Support Project aligned with the development goals and strategies of the sector?

Overall budget and financing structure	<p>Is the overall budget consistent with the FC and TC budget? Are the funds requested for the implementation of the NAMA Support Project reasonable for the planned activities and the specification of quantities?</p> <p>Is the distribution of funds over the course of the project consistent with the planned activities? Is the financial contribution from other sources (national budget, private and other international donors) planned and secured?</p>
National implementing partners and subcontractors (FC and TC component)	<p>Have the national implementing partners and subcontractors been reasonably selected?</p> <p>Are the legal form, institutional status and decision-making powers of the implementing partners and subcontractors consistent with their project responsibilities? Do they enjoy legitimacy from the point of view of the target group and intermediaries?</p> <p>Do the implementing partners have sufficient financial and human resources to implement the project, and is there evidence of this?</p>
Target groups and stakeholders (FC and TC component)	<p>Are the relevant target groups for the NSP identified? Will the target groups be appropriately involved in implementing the NAMA Support Project?</p> <p>Are the key stakeholders identified? Are stakeholders appropriately involved in the implementation process?</p> <p>Have the goals and interests of the relevant stakeholders in relation to the NAMA Support Project been identified?</p>
Log-frame and M&E Framework (FC and TC component)	<p>Are the expected long-term impacts, outcomes, outputs and activities appropriately selected and achievable by the envisaged activities and within the proposed time frame?</p> <p>How do they relate to the ambition criteria of the NAMA Facility? Do they correspond to the NAMA Facility's M&E framework? Is the overall theory of change reasonable and appropriate?</p>
Implementation process and planned instruments (FC and TC component)	<p>Are the implementation steps appropriate and feasible? Is the implementation time frame realistic?</p> <p>Is the GANTT chart well developed and robust? Have milestones been identified? How do they relate to one another and do they fit with the project goal?</p> <p>Are the planned methods, mechanisms and instruments appropriate for reaching the project goals?</p>
Risks and risk assessment (FC and TC component)	<p>Have the relevant risks been identified and have they been properly addressed by the planned activities? Have appropriate measures to mitigate the risks been identified? Can these measures reduce the risks to such an extent that the success of the project is not in danger?</p>
Assessment of environmental, social and climate change standards (FC and TC component)	<p>Is an in-depth environmental, social impact and climate change assessment required? Has a screening been conducted? Has the impact of the planned activities/measures been assessed?</p>
Budget and financing structure (FC and TC component)	<p>Are the funds requested for the implementation of the NAMA Support Project reasonable for the planned activities and the underlying quantitative structure? Is the distribution of funds over the years consistent with the planned activities and the specification of quantities? Is the FC component of the project economically justifiable? Is the choice and set-up of the financial mechanism(s) appropriate and economically justifiable? Is the distribution of TC funds for personnel, material expenses and investments appropriate?</p>

3.4 NAMA Support Project implementation (Step 3)

Following the final approval of a NAMA Support Project by the Board, the delivery organisation will enter into contractual arrangements with the relevant partners for implementing the NAMA Support Project.

All the rules and procedures for implementing NAMA Support Projects, which have been defined in the underlying contractual arrangements between DECC, BMUB, GIZ and KfW, shall be reflected in the NAMA Support Project's contractual arrangements.

If a NAMA Support Project selected by the Board has nominated qualified delivery organisation(s) other than KfW/GIZ, these will be subcontracted by KfW and/or GIZ to implement the NAMA Support Project. This is necessary in order to safeguard the underlying contractual arrangements of the NAMA Facility and meet donors' requirements.

4 Monitoring and evaluation (M&E)

Monitoring and evaluation will be an important part of the NAMA Facility. It will be based on the Monitoring and Evaluation (M&E) Framework established by the NAMA Facility Board. The NAMA Facility M&E Framework provides guidance on monitoring and reporting requirements for both core mandatory indicators and additional sector-specific indicators. The NAMA Facility M&E framework will be monitored and revised if appropriate in the light of lessons learned from implementing NAMA Support Projects.

Monitoring and evaluation of the NAMA Facility will take place at both an individual project level and the overall NAMA Facility level.

4.1 Monitoring and reporting requirements at project level

The M&E Framework of the NAMA Facility is in line with the results-based monitoring policies of BMUB and DECC. It addresses both the reductions in GHG emissions as a result of the NAMA Support Project and the project's contributions to moving the partner country towards a low-emission development path in accordance with the ambition criteria of the NAMA Facility. The Monitoring and Evaluation Framework established by the NAMA Facility Board is available on the official www.nama-facility.org website. Delivery organisations are requested to provide an M&E plan in the first year of implementing a NAMA Support Project.

- Delivery organisations are also required to report regularly to the TSU with the following:
- Semi-annual report: checklist on progress of project and financial reporting.

- Annual project report: describes the status and progress of the project, provides an update on the implementation schedule, reports on indicators and risks as observed in the log-frame and gives feedback on the financial status of the project.
- Final project report: A final report of the NAMA Support Project must be submitted within six months of the end of the project. In addition to the reporting requirements of the annual report, the final project report will assess the overall performance and achievements of the project in terms of outcomes and outputs, and will discuss the impacts and lessons learned for broader application.

TSU will assess the performance of the NAMA Support Project on the basis of the log-frame, the M&E plan and the reports provided by the project, and will check documents against the M&E framework established by the Board. The NAMA Facility Board may decide to conduct an external evaluation of the project mid-term or following conclusion of the project.

4.2 Monitoring and evaluation requirements at NAMA Facility level

Monitoring and evaluation will take place not only at the specific NAMA Support Project level but also at the level of the NAMA Facility. This includes three basic elements:

- Semi-annual and annual NAMA Facility review: The Technical Support Unit will undertake a regular Facility review to assess the performance of the NAMA Facility as a whole on the basis of the M&E framework established by the Board. The reviews will be based on the semi-annual and annual project reports and on data gathered at the overall NAMA Facility level. The reviews will also offer a background against which to determine lessons for broader application.
- Final NAMA Facility review: A final review of the NAMA Facility as a whole will be conducted by the trustees (GIZ and KfW) to assess the performance of the Facility and its contribution to related outcomes. A mid-term evaluation conducted by an independent party will analyse the performance of the NAMA Facility and inform BMUB and DECC of the lessons learned and the areas in which there is potential for improvement or refinement, which might also include the scale or focus of the NAMA Facility.
- Final evaluation: The NAMA Facility as a whole will be evaluated ex-post by an independent party.

ANEXO N°3:
CARACTERÍSTICAS DEL PROCESO DE
APLICACIÓN PARA EL
INTERNATIONAL CLIMATE INITIATIVE
IKI



25 April 2014

Information on support for projects under the International Climate Initiative of the German Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety

1. Introduction

The entire international community has assumed the task and set itself the goal of at least containing global climate change. In order to **limit global warming to 2°C**, it will be essential to at least halve global greenhouse gas emissions by the middle of this century. In the same vein, the advancing loss of biological diversity is presenting an ever greater threat to human livelihoods. This situation prompted the German Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (BMUB) to launch the **International Climate Initiative** (*Internationale Klimaschutzinitiative*, IKI) in 2008. The Initiative strengthens Germany's bilateral cooperation with developing, newly industrialising and transition countries in the fields of climate protection and biodiversity conservation, and **supports the ongoing negotiation process for a comprehensive global climate agreement under the umbrella of the Framework Convention on Climate Change (UNFCCC)**. The International Climate Initiative contributes decisively to ensuring that Germany continues to meet its international commitments with regard to climate and biodiversity financing.

The International Climate Initiative supports **climate change and biodiversity conservation projects in developing, newly industrialising and transition countries** ('partner countries') in a manner consistent with the German Government's existing international, multilateral and bilateral cooperation. IKI projects are to be ambitious, transformative and/or innovative.

The projects are geared to the needs of the partner countries and support them in climate change mitigation, especially in **reducing greenhouse gases, building capacity to adapt** to the impacts of climate change and conserving and making sustainable use of forests and other ecosystems (carbon sinks), in particular **REDD+**. The International Climate Initiative thereby also promotes implementation of the [Cancún](#) Agreements and the [Durban](#), [Doha](#) and [Warsaw](#) outcomes. Ambitious action on climate change is also promoted in line with the work plan on enhancing mitigation ambition of the [Ad Hoc Working Group on the Durban Platform for Enhanced Action \(ADP\)](#). This helps to **forge consensus on an ambitious, comprehensive and binding climate agreement**. With a view to the 2015 United Nations climate agreement, one priority is to assist partner countries throughout the process of formulating and concretising their **mitigation contributions** and establishing suitable national conditions for the effective realisation of such contributions. In this connection, effective measurement, reporting and verification (MRV) systems that ensure transparency at national and international level and thereby build trust are a key element in the review of joint efforts to remain within the global 2°C limit.



The ongoing loss of biological diversity presents a further global challenge. The IKI helps partner countries **implement the Strategic Plan 2011-2020 of the Convention on Biological Diversity (CBD)** (<https://www.cbd.int/sp/>). The main concern of the International Climate Initiative in this regard is to **promote effectively and sustainably the attainment of the Aichi Targets established by the Strategic Plan**. Projects are to tie into the biodiversity strategies of partner countries in the most effective manner and will complement other, ongoing national and international activities.

Furthermore, it is the goal of the IKI to create as many synergies as possible between climate change protection and biodiversity conservation.

This document describes the procedure and criteria for the **selection of projects that can receive funding from 2015**. Funding for projects under the International Climate Initiative is granted on the basis of the administrative provisions in Articles 23, 44 of the Federal Budget Code (BHO), Articles 48 to 49a of the Law on Administrative Proceedings (VwVfG) and other collateral clauses (see Section 6). There is no legal claim to funding. The decision to approve support is taken by the BMUB after due assessment of the circumstances in the framework of the budgetary funds available.



2. Object of support

In the current project selection round, the International Climate Initiative will focus on consolidation of the existing portfolio in both thematic and regional terms. The interactive world map on the IKI website provides an overview of projects (<http://www.international-climate-initiative.com/en/projects/projects/>). In **support areas I to III**, the IKI will therefore be geared even more closely to **fostering transformation processes** that move economies onto a low-carbon path and make countries resilient to climate change. The emphasis will be on supporting activities that serve to implement the decisions adopted in the UN climate process. In particular, countries are to be assisted in pledging and implementing additional emission cuts before 2020. The IKI thus also promotes multilateral climate initiatives such as the International Partnership on Mitigation and MRV (<http://www.mitigationpartnership.net/>). In **support area IV**, a key criterion for funding eligibility is the implementation of selected goals of the Strategic Plan 2011-2020 of the CBD.

Strengthening international climate and biodiversity finance is a pivotal issue for the IKI. Mechanisms to mobilise additional funding, in particular private investment, and the promotion of sustainable business models for climate protection and biodiversity conservation measures are therefore a key cross-cutting theme in all areas of support (see Section 2.5. below).

Funding can be granted to activities in the fields of policy advice, capacity building, technology cooperation and investment, and the concrete implementation of policies, strategies and approaches. Project selection is guided by the criteria set out in Section 7.3. Projects must be relevant to one or more of the thematic priorities presented below. When assessing submissions, particular attention will be given to projects that have the maximum potential to exert a transformative effect and raise the level of ambition in partner countries.

The primary level of intervention is the national level. Subnational and multi-country schemes will also be funded if they are embedded consistently in national strategies and policies and verifiably serve to implement those.

In four support areas the IKI focusses on the following **thematic priorities**:

2.1. Support area I: Mitigation

In this area the objective is to support partner countries in preparing and conducting actions that make a significant contribution to the prevention of greenhouse gas (GHG) emissions. This shall help to enable partner countries to adopt mitigation targets under a **2015 climate agreement** ('nationally determined contributions' in a first step) and to underpin and implement these through national mitigation measures. States will also be supported in identifying and implementing **additional emissions reductions pre-2020**.



IKI funding in the area of mitigation is guided by a synoptic consideration of the following instruments, sectors and support approaches.

It is targeted at the following **climate policy instruments**:

- Support for partner countries in the development and implementation of **cross-sectoral, long-term mitigation strategies (Low-Carbon Development Strategies, LCDs)**. LCDs create a structured guiding framework for climate policy, from which aggregated mitigation contributions result and sectoral actions can be derived. LCDs supplement or concretise existing or planned national strategies. With a prioritisation of low-carbon development in this context, IKI funding can also be used to promote the development and implementation of *Green Economy strategies*, subnational or multi-country *sustainable urban development initiatives*, and actions to link national climate policy with relevant sector policies.
- Support for the **development and implementation of sectoral mitigation actions** (especially Nationally Appropriate Mitigation Actions, **NAMAs**). The key aspect here is the orientation to implementation, i.e. 'readiness', 'bankability'. Priority sectors for the current project selection round are listed further below. Eligible projects in this field thus go beyond the identification of tangible mitigation actions and the creation of institutional, legal, political and human-resource structures for their implementation. Eligible projects give particular attention to setting up financing mechanisms and tapping sources of finance at national, international and private-sector level. Early involvement of finance-sector actors is vital. To the extent that public funding is deployed, this should catalyse transformation towards a low-carbon development pathway by utilising innovative financing mechanisms.
- **Promoting the global carbon market**: IKI support in this field goes to activities that develop and put in place national and subnational emissions trading systems, and to viable, environmentally sound market mechanisms to support raising the level of ambition as well as the international negotiations. Support also goes to preparatory activities that seek to link emissions trading systems, and to those that link emissions trading systems with market mechanisms. Particular attention is given to the integration of carbon market mechanisms within national climate strategies.
- **Measurement, reporting and verification (MRV)**: The transparency of mitigation contributions is a prime concern of international climate policy. The IKI therefore supports the establishment of stringent national and cross-sectoral MRV systems and the establishment of national registers to trial greenhouse gas accounting rules. This includes, among other things, building the capacity of national MRV experts to produce national GHG emissions inventories, national reporting to the UNFCCC, and related advice for institutional capacity-building. Support is also given to the application of standards and methodologies for the measurement of goal attainment for various types of mitigation targets, and the preparation of national registers.



Priority sectors in the area of mitigation are:

- **Sustainable consumption and production patterns (SCP)**
The IKI supports the introduction of low-carbon patterns of consumption by developing information systems and promoting low-carbon public procurement. Actions to introduce and utilise low-carbon standards for products and services are eligible for support. The *10 Year Framework of Programmes on Sustainable Consumption and Production* adopted in Rio in 2012 provides a guiding framework.
- **Renewable energies/energy efficiency**
According to the Intergovernmental Panel on Climate Change (IPCC) , global electricity generation will need to be decarbonised by 2050 if global warming is to be limited to less than 2°C. IKI support therefore seeks to foster the configuration and establishment of low-emission and sustainable energy sectors in partner countries. This includes actions to improve an enabling environment, such as: strengthening institutions and relevant actors; providing incentives for efficient and sustainable energy production and use as well as avoiding wrong price signals e.g. through fossil energy subsidies; and removing barriers to investment and commercial roll-out, such as financing bottlenecks and risks, or regulatory shortcomings. It further includes targeted actions designed to expand the use of renewable energies and improve energy efficiency.

In the field of renewable energies/energy efficiency, priority **sectors** in the current round of project selection are: sustainable energy production/supply systems (as concerns renewables this primarily means wind, solar, and biomass as organic secondary resource), buildings, industry, and water supply and sanitation.

- **Mobility/transport**
The purpose of support in this field is to develop climate protection strategies and plans for the transport sector in partner countries and to foster their implementation in order to curb the mounting transport-related GHG emissions in developing and newly industrialising countries. Key approaches here include preventing traffic and shifting the modal split (which can also be pursued in the context of sustainable urban development), improving the efficiency of the modes and means of transport, and decarbonising the energy sources used in the transport sector. Projects supported in these fields should, wherever possible, deliver environmental co-benefits in terms of air pollution control, noise control and the conservation of other resources.
- **Closed cycle waste management**
The establishment of waste management structures is eligible for support in order to tap the mitigation potential in the waste management sector. The goal here is to ensure that less waste – and especially biodegradable waste and waste containing recoverable secondary resources – is consigned to landfill.



Actions centre on segregated collection and recovery of the materials and energy contained in wastes. Integrated approaches that address the national policy level and other relevant stakeholders (industry, population, informal sector) are particularly eligible for support.

- **Resource efficiency**
Projects which, with a focus on climate change mitigation (GHG emissions reduction), promote the transition to a resource-efficient, closed-loop economy are eligible for support. In particular this relates to resource and energy savings achieved throughout the industrial value chain by means of resource-efficient production processes, and abatement of the adverse environmental effects of resource extraction that involve GHG emissions (energy intensity of resource extraction and refining, degradation of CO₂ sinks by extraction sites and associated new infrastructure).
- **F-gases**
In view of the considerable global warming potential of fluorinated greenhouse gases (F-gases) it is particularly important to disseminate alternatives in order to prevent technologies with high radiative forcing effects being adopted from the outset, and to promote emissions reduction measures in this field focussing on: refrigeration applications, air-conditioning, foam production and use, and fluorinated GHG disposal.

The following **approaches** are particularly **eligible for support**:

- **Conceptual design of policy programmes and mechanisms**, be they generic or in selected sectors, with a view to tapping GHG reduction potential (regulatory policy; investment promotion and market incentives; technical standards). In this context, actions helping to arrive at national consensus (e.g. multi-stakeholder workshops) or to develop analytical and advisory capacity are also eligible for support.
- **Capacity-building** in public institutions with the goal of shaping, implementing and measuring the results of policies and promotion instruments (methodologies; indicators; standards).
- Development of specific **promotion mechanisms** to mobilise the financial market, private investment and sustainable business models (e.g. tendering; equity and venture capital funds; crowdfunding). In this context, existing promotion programmes should be evaluated in order to identify critical points and potential for improvement.
- **Capacity-building among private-sector actors** (industry, crafts, investors, technology networks) and elaboration of specific **consultancy approaches and financing and business models** (see also Section 2.5, Financing instruments).
- Advice on, demonstration of and dissemination of **technical innovations**. In this context, the suitability of specific technologies can be demonstrated in pilots, whereby particular account needs to be taken of the technical, economic and climatic conditions prevailing in partner countries.



2.2. Support area II: Adaptation to climate change

The international community has agreed to assist developing countries in their efforts to adapt to climate change. Even today, such adaptation presents a challenge to these countries. It is to be expected that climate risks will continue to mount even if ambitious mitigation action is taken worldwide. In the area of adaptation, the International Climate Initiative aims to **boost adaptive capacity in regions which are highly vulnerable to the impacts of climate change**.

The IKI supports

- The development and implementation of regional and national **adaptation strategies**, notably NAPs (National Adaptation Plans) and NAPAs (National Adaptation Programmes of Action). In this context, the IKI can also support the development and implementation of *Green Economy strategies* and of regional and supra-regional *sustainable urban development initiatives*.
- **Ecosystem-based adaptation (EbA)** in water and land-use management (including coastal and marine areas). In general, projects implementing EbA measures should involve the performance of cost-benefit analyses, including in relation to 'grey' measures. A particular focus can also be placed on the interplay among sectors (especially water, energy, food) and on maintenance of the functions of the ecosystems linked directly to the hydrological regime (water catchment management).
- **Management of climate risks**, especially development and roll-out of insurance solutions and other climate risk management mechanisms.

The IKI also supports combinations of the above.

Within these thematic areas, priority should be given to the following **elements**:

- Pilot measures for implementation and their integration into cross-sectoral initiatives to foster the exchange of experience and to link up measures;
- Closing important knowledge gaps;
- Monitoring and evaluating adaptation measures in order to generate support tools for decision-makers;
- Developing climate information systems (possibly differentiated according to type of settlement structure – urban/rural), especially in order to utilise adaptation-related knowledge in science and policy-making.

2.3. Support area III: Conservation and sustainable use of natural carbon sinks / REDD+

The conservation and sustainable use of forests and other ecosystems plays a key role in greenhouse gas mitigation.



The main emphasis of support is on projects to implement national REDD+¹ strategies (Phase 2) which prepare national actors for a results-based REDD+ mechanism (Phase 3), including in particular:

- Development, application and monitoring of ecological and social standards ('safeguards') with a focus on the participation of local communities and indigenous peoples.
- Development of effective, efficient and equitable national benefit distribution systems for REDD+.
- Promoting co-benefits in terms of biodiversity conservation and ecosystem service maintenance, and the social and economic sustainability of REDD+.
- Actions to improve REDD+ measurement, reporting and verification and for baseline determination and carbon accounting, including the integration of subnational approaches.
- Development and roll-out of REDD+ business models that reduce financial dependence upon certified emissions reductions and address the drivers of deforestation. This includes, in particular, joint public-private actions to establish deforestation-free supply chains.
- Measures for the strategic planning, financing and implementation of large-scale, ecologically sound and socially equitable rehabilitation of forest ecosystems that ensure the use of native tree species and the appropriate involvement of local/indigenous communities. Particular consideration is given here to the development of business models in cooperation with the private sector that foster large-scale implementation of rehabilitation measures.

2.4. Support area IV: Biodiversity

The Convention on Biological Diversity (CBD) provides the global framework for the conservation and sustainable use of biodiversity. With the **Strategic Plan 2011-2020** and its **20 Aichi Targets**, the parties to the convention have adopted a highly ambitious roadmap towards halting the loss of biological diversity worldwide. The IKI seeks to assist implementation of the Strategic Plan in the partner countries in a tangible and effective manner. Support measures should be derived as far as possible from the National Biodiversity Strategies and Action Plans (NBSAPs) and resource mobilisation strategies, and should promote their implementation; they should also complement existing programmes/projects and other implementation activities at national, regional and international level. In addition, the IKI seeks to support implementation in the partner countries of the work programme of the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services (IPBES).

¹ Reducing Emissions from Deforestation and Forest Degradation (REDD), including the role of conservation, sustainable management of forests, and enhancement of forest carbon stocks.



For the 2015 selection round, IKI support will focus in particular on projects designed to address the following:

- To **raise awareness** of the importance of biological diversity in politics and society, to **mainstream biodiversity concerns in sector policies** and to **combat the causes** of its decline:
 - raising awareness and educating people about the values of biodiversity and the steps they can take to conserve and use it sustainably (cf. Aichi Target 1),
 - integrating biodiversity values into policy planning processes (cf. Aichi Target 2),
 - eliminating or reforming incentives harmful to biodiversity and creating positive incentives for the conservation of biodiversity (cf. Aichi Target 3).
- Integral implementation of the **CBD Programme of Work on Protected Areas**; including designation and sustainable management of marine protected areas and support for the process of identifying and maintaining Ecologically and Biologically Significant Areas (EBSAs), including the high seas; particular attention is to be paid to the concerns of local and indigenous communities (cf. Aichi Target 11).
- Sustainable **management** and use of **marine biological resources**, with the aim of preventing fisheries and aquaculture from having adverse impacts on stocks, species and ecosystems (cf. Aichi Target 6).
- Actions to conserve, network and restore ecosystems that are vital to human well-being and provide essential **ecosystem services**, taking an integrated planning or landscape-level approach (cf. Aichi Targets 14 and 15).
- Implementation of the work programme of the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services (**IPBES**) in the field of capacity building, taking account of the thematic assessments decided.

2.5. Cross-cutting theme: Financing instruments for climate change mitigation and biodiversity conservation

Public-sector climate and biodiversity finance is a component of the financing of mitigation, adaptation and biodiversity actions. Funds should be deployed in such a way that they mobilise private-sector investment with an impact that is as transformative as possible. The IKI therefore promotes the following across all support areas:

- **Mechanisms to mobilise** private investment in mitigation and biodiversity actions, or low-carbon and sustainable **business models**, both with or without direct involvement of the financial market.



Mechanisms should build upon a clear analysis of the barriers to private investment in mitigation actions in the target country, in order to exclude freerider effects and create sustained incentives for such investment.

- Capacity building for broader-scale **support mechanisms and structures**; public-private partnership arrangements to catalyse investment.
- Needs-driven **capacity building in financial institutions** for the development and implementation of sustainable financial products that are designed to promote investment in climate change mitigation or biodiversity conservation. To the extent required by the financial market situation in target countries, technical consultancy can be combined with refinancing mechanisms or with mechanisms providing financial security for investments in actions/technologies.

Furthermore, the IKI can support projects that combine the priorities of the individual support areas in an innovative manner.



3. Project organisation and project partners

The International Climate Initiative is open to a broad range of participants from Germany and abroad. It supports projects carried out in partner countries by federal implementing agencies, NGOs, business enterprises, universities and research institutes, and by international and multinational organisations and institutions, e.g. development banks and United Nations bodies and programmes.

For grants to recipients based abroad, Sections 3 to 7 of this information document apply accordingly. Projects conducted by federal implementing agencies are commissioned pursuant to the terms and conditions applicable to these agencies.

Projects can also be implemented jointly by more than one organisation/institution. In the case of joint projects, cooperation must be regulated in a cooperation agreement with all implementing actors, and a project leader should be appointed. The cooperation agreement must be submitted in the second step of the application procedure (see Section 7.2) and contain the legally binding signatures of all implementing actors.

The grant recipient is expected to have project-related expertise and experience of the target region. Grant recipients must demonstrate relevant expertise and, as a rule, prove that for at least three years they have continuously implemented international cooperation projects jointly with partners in the region, or that they have been successfully involved in project-related activities for at least three years. Implementing actors must be able to undertake qualified planning and cost-effective implementation of projects, and to monitor projects and render account for them, if necessary in collaboration with the partners or subcontractors directly involved in the implementation.

Specific monitoring of the projects is expected. Project planning and monitoring of the projects should be based on the results framework developed by the Organisation for Economic Cooperation and Development (OECD).

The grant recipient must be capable of providing suitable human resources for the technical and administrative implementation of the project. The level of the planned, average annual BMUB funding volume should not exceed the average annual turnover of the grant recipient's last three commercial years. The average annual funding volume follows from the planned total BMUB funding volume and the planned project duration as stated in the project outline.



4. Prerequisites for support

Support depends on the project's design being suited to making a substantial contribution to achieving the International Climate Initiative's goals and priorities as defined in Section 2.

Projects applying for support must be based on the strategies and policies of the respective partner countries and take account of existing programmes and structures. Project proposals should be oriented to the needs of target countries, based upon a gap analysis, in order to advance the countries' specific climate protection efforts in the best possible way.

The **governments of the partner countries must express an explicit interest** in the project. This is a prerequisite to project implementation and must be verified in the second stage of the selection procedure. In the first stage of the selection procedure (project outline), an initial appraisal of the political support for the project idea should be made; a possible contact/reference person in the government of the partner country (lead executing agency) is to be named.

On principle, projects must be implemented **in cooperation with national, local or regional partners** in order that the project is anchored in the target region. Envisaged partners are already to be named in the first stage of the selection procedure (project outline).

In addition, projects will only be considered for funding if they have clearly defined goals which can be achieved and verified within the project duration (please regard in this context the notes on the OECD results chain in the [IKI-template for project outlines](#)). The projects must not have been already started and the duration should not be more than six years.

Support by the International Climate Initiative is only provided if implementation of the proposed project would have been impossible without the deployment of public funding.

In order to fully exploit synergies and prevent duplication of funding, relations to other instruments or areas of support, to ongoing or earlier funding measures of the Federal German Government, the German regional states (*Länder*) or the European Union or to any international measures (bilateral/multilateral) must be disclosed and their relevance for the proposed project explained. The closer the proposed project is in its goals, target groups, activities and concrete outcomes to a concluded/ongoing project, the more precisely the demarcation from or linkage with such a project needs to be presented. Applications must indicate intended or previously approved support from third parties for the proposed project, specifying the support donor(s) and the specific amount(s) of funding. Proof of intended or approved support must be provided in the second stage of the selection procedure at the latest (see chapter 7.2).



The implementing actors undertake to cancel any emissions permits generated in connection with the projects during the duration of support, in order to ensure the additionality of greenhouse gas reduction and of the funding provided by the International Climate Initiative.

5. Type, extent and amount of the grants

Support can be granted for all costs or expenditures which are necessary in line with the principles of sound financial management to achieve the project goal, insofar as it is not possible to achieve this goal without this support.

It is generally a condition for approval of a grant that the applicant makes an appropriate contribution and that additional funding is mobilised to meet the eligible expenditure or costs.

The efficiency of the expenditures and costs and the economical use of the funds must be demonstrated.

The support granted must promote sustainable development in the partner countries. Economic support is not intended to benefit the grant recipient.

The funded projects must meet the criteria for recognition as Official Development Assistance (ODA).

6. Other terms/grant conditions

The following collateral clauses are a component of the grant decisions:

- for expenditure-based grants, the general collateral clauses for grants to support projects (*Allgemeine Nebenbestimmungen für Zuwendungen zur Projektförderung*)
[\(ANBest-P\)](#)
- for cost-based grants, the general collateral clauses for cost-based grants to support projects (*Allgemeine Nebenbestimmungen für Zuwendungen zur Projektförderung auf Kostenbasis*)
[\(ANBest-P-Kosten\)](#)

In the case of projects with foreign grant recipients, collateral clauses corresponding to the ANBest-P or the ANBest-P-Kosten will become part of the contract.



7. Decision-making procedure

7.1. Involvement of a Programme Office

The BMUB has commissioned the Programme Office of the International Climate Initiative (*Programme Office*) to manage the support programme.

Programmbüro Internationale Klimaschutzinitiative
Potsdamer Platz 10
D-10785 Berlin
Germany
E-Mail: programmhuero@programmhuero-klima.de

7.2. Selection procedure

Selection is based on a two-stage procedure.

In the **first stage, informative project outlines** in German or English must be prepared on the basis of the **IKI-template for project outlines** (version 6.0) and submitted to the Programme Office, only electronically (via e-mail to programmhuero@programmhuero-klima.de). The outlines must not exceed six pages (plus, where applicable, the two annexes provided in the application template). The following deadline applies:

For the **2015 selection procedure** (planned project start from 2015 at the earliest), project outlines must be submitted by **25 June 2014, 24:00 (Central European Time, CET)**.

The IKI-template for project outlines (version 6.0) is available for download (as xlsx and xls file format) at the following address in the menu bar on the right side:

<http://www.international-climate-initiative.com/en/project-promotion/selection-procedure/>

Project outlines which are received after the deadline (25 June 2014, 24:00 (CET)), do not satisfy the format requirements (IKI-template for project outlines; version 6.0; xlsx or xls file format), are incomplete or were not submitted by the designated means (via e-mail to programmhuero@programmhuero-klima.de) will not be considered for the subsequent selection procedure.

All project outlines that have been submitted in full by the deadline will be collected by the Programme Office and evaluated by the BMUB. The BMUB pre-selects promising project outlines in line with the available budgetary resources, considering coherence with foreign and development policy. The applicants will be informed in writing of the result of the evaluation.



If the project outlines are promising, applicants will be requested in writing to submit a **formal application for support (second stage)**. The BMUB will then decide on this application in a final review. After conclusion of the first stage, applicants will be informed of the relevant terms and application templates to be taken into consideration – including the requirements concerning monitoring and safeguards.

7.3. Selection criteria

The submitted project outlines will be evaluated and selected by the BMUB according to the following conditions and criteria:

Aptitude of submitter:

- The preconditions stated in Section 3 for suitability as project organisation and project partner (notably: competence, capacity, experience, networking, orderly business management of submitter and of the submitter's partners).

Target region:

- **Role of the partner country** in the context of the international negotiations on climate change mitigation – or, in the case of area IV, on biodiversity – and the country's interest in cooperating on climate change or biodiversity with Germany.
- **ODA eligibility** of the supported measure.
- Key countries and regions are
 - in **area I (mitigation)** countries with high potential for greenhouse gas reduction, especially newly industrialising countries, middle-income countries (<http://data.worldbank.org/about/country-classifications>) and transition countries; policy advice projects are preferred in the particularly advanced newly industrialising countries;
 - in **area II (adaptation)** vulnerable countries and regions;
 - in **area III (carbon sinks/REDD+)** countries and regions that are particularly relevant with a view to carbon storage and biodiversity;
 - in **area IV (biodiversity)** countries and regions with a particularly high/rich biodiversity and/or visible commitment to the CBD objectives;

with due regard to the intended consolidation of the existing IKI portfolio in both thematic and regional terms. Information on previous bilateral cooperation with individual countries in the context of the International Climate Initiative can be found on the portfolio page of the IKI website: <http://www.international-climate-initiative.com/en/about-the-iki/project-portfolio/>



Suitability of project:

- **Substantial match with one or more of the thematic priorities of the International (see sections 2.1 to 2.5) Climate Initiative**
- Transformative impact, level of ambition, innovation potential (technological, economic, methodological, institutional)
- Sustainability of project outcomes and replicability of the concept and/or results
- Contribution to international climate cooperation, in particular in the context of the UN climate negotiations through support for implementation of the [Cancún](#), [Durban](#), [Doha](#) and [Warsaw](#) agreements and outcomes, the climate-related negotiations within the framework of the [Montreal Protocol](#) and/or contribution to international cooperation in the context of the CBD processes through support for implementation of the [CBD Strategic Plan 2011-2020](#)
- Contribution to the creation of enabling political conditions in the partner country
- Coherence with and integration into national and/or regional/transnational strategies, international cooperation and synergies with other projects and sectors
- Contribution to economic and social development in the partner country
- Contribution to bilateral cooperation on climate and environment
- Solidity of the concept, quality of presentation and of the anticipated project management and monitoring
- Amount of self-financing and third-party financing
- Appropriateness, effectiveness and efficiency of the use of funds