

6th Call of the NAMA Facility

Clarifications II

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Abbreviations

ASP	Applicant Support Partner
DPP	Detailed Preparation Phase
FAQ	Frequently Asked Questions and Clarifications (a NAMA Facility document)
GID	General Information Document (a NAMA Facility document)
INGO	International non-governmental organization
NAMA	Nationally Appropriate Mitigation Action
NDC	Nationally determined contributions
NGO	Non-governmental organization
NSO	NAMA Support Organization
NSP	NAMA Support Project
UNFCCC	United Nations Framework Convention on Climate Change

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Question	A) Eligible countries
CN II-1	Q: Is there a per-country submission limit? A: No, there is no limit.

Question	B) Eligible sectors and technologies
CN II-2	Q: Are there any specific reasons as to why there are no oceans-related NAMA Support Projects (NSPs)? A: The NAMA Facility is open to a wide range of countries and sectors, and would be open to considering such a project. Please note that NAMAs (Nationally Appropriate Mitigation Actions) work towards supporting the achievement of a country's NDCs, and any ocean-based NSP would need to demonstrate how it is linked to the country's NDC.
CN II-3	Q: Can more than one sector be indicated on the Outline? A: Yes, if the scope of the NSP falls within multiple sectors, these can be indicated on the Outline.
CN II-4	Q: 1) Can an Outline be technology agnostic? 2) If so, would an NSP be eligible that supports corporations in developing GHG reduction targets and strategies that are in line with the Paris Agreement? A: 1) An Outline can, in theory, be technology agnostic, as long as it demonstrates how relevant mitigation effects are achieved within the NSP Implementation Phase, and fulfils the criteria laid out in the General Information Document (GID) . 2) However, as the NAMA Facility's focus is on the IMPLEMENTATION of mitigation actions, an NSP focussing on only DEVELOPING mitigation targets and strategies would not fully align with the NAMA Facility's objective.
CN II-5	Q: Is an NSP eligible if it proposes to establish pilot plants for supporting technology transfer and capacity building and supports the development of businesses for scaling up the technology installations? A: While such an intervention is not excluded from NAMA Facility funding, the NSP would need to demonstrate that it can achieve a relevant scale in the country context during the NSP Implementation Phase, a financing mechanism that mobilises additional financing sources and that it has a relevant direct and indirect mitigation potential. For more information on the expectation level see GID , and in particular on the assessment criteria, GID section 5.1.3.

Question	C) Eligible Applicants / Applicant Support Partners / NSO
CN II-6	Q: Can the Applicant Support Partner (ASP) or NAMA Support Organization (NSO) be a consortium, and if so, how should that be detailed in the Outline? Furthermore, how would the funds then be disbursed to the consortium? A: Yes, both the ASP and the NSO can be a consortium. When a consortium is formed, the roles of all partners must be well defined, and a lead consortium member should be identified to become the contractual partner for the NAMA Facility Grant Agent. This partner is then the funds recipient. In the Outline, the consortium partners for the Applicant Support Partner should be described in Outline section 1.4 and Annex 3, and the consortium partners for the NSO should be described in Outline section 1.6 and Annex 5. Please see FAQ section C, specifically FAQ25, as well as and GID sections 3.5 and 5.1.1 for more information.
CN II-7	Q: How does the NAMA Facility define a legal entity?

	<p>A: The NAMA Facility expects a legal entity to be an organisation that meets the eligibility requirements of an Applicant Support Partner and/or the NSO. There is no preference for one type of organisation over another. The NAMA Facility would not provide funding to individual persons. For more information, please see GID section 5.1 regarding eligibility requirements.</p>
CN II-8	<p>Q: Can private companies form a consortium, propose an Outline and receive funding? Or can private companies form a consortium with an international non-governmental organization (INGO)/non-governmental organization (NGO)?</p> <p>A: In the case of a consortium, all members should be public benefit legal entities. The support provided by the NAMA Facility can only be used for public benefit purposes. For options for the private sector to engage in the NAMA Facility, please also refer to FAQ 24. For more information regarding eligibility requirements, see GID sections 3.4 and 5.1.</p>
CN II-9	<p>Q: Can a UN organisation act as a NSO, Applicant Support Partner or other Implementing Partners?</p> <p>A: Yes, UN organisations are eligible for such roles, if they receive endorsement of the relevant national ministries. See FAQ 31 and FAQ section C for more information regarding eligibility.</p>
CN II-10	<p>Q: Can only national governments submit an NSP Outline?</p> <p>A: National governments as well as other organizations are eligible to submit NSP Outlines. Please see GID section 5.1 and FAQ section C for more information regarding eligibility.</p>
CN II-11	<p>Q: What are the national ministries or legal entities of each country that can access the NAMA Facility? Is there a contact list?</p> <p>A: The NAMA Facility does not apply any accreditation system for potential Applicants and Applicant Support Partners (see also FAQ 22). This applies to neither national ministries nor legal entities. Accordingly, there is no contact list available at the NAMA Facility. For identifying the national ministry responsible for climate change and United Nations Framework Convention on Climate Change (UNFCCC) negotiations, you may check the UNFCCC website, which identifies focal points for each country, for further guidance. Please also see the GID section 5 and FAQ section C for more information regarding Applicants' eligibility. Please also note that only ODA-eligible countries can apply for NAMA Facility support (see FAQ 1).</p>
CN II-12	<p>Q: What kind of institutions are Implementing Partners?</p> <p>A: For examples, see GID section 3.5. Implementing partners are national (sector) ministries, financial institutions such as regional or national (development) banks and other public and/or private entities mandated by the national government to implement and operate the NAMA Support Project. The strong involvement and ownership of the national government and implementing partners is considered to be essential for the success of the NAMA Support Project.</p>
CN II-13	<p>Q: What is the role of the Applicant Support Partner during the Implementation Phase?</p> <p>A: The functionality of the Applicant Support Partner is limited to the Detailed Preparation Phase (DPP). In the event that the Applicant is a national ministry, the Applicant Support Partner is the chosen legal entity that is the NAMA Facility Grant Agent contracting partner for the DPP. For more information, please see section C of the FAQ, as well as 5.1.1 of the GID. During the Implementation Phase, the functionality of the Applicant Support Partner is taken over by the NAMA Support Partner. See also FAQ 27.</p>

CN II-14	<p>Q: Does each member of the consortium have to meet all Applicant eligibility criteria, or does the consortium as a whole only need to meet all of the eligibility criteria?</p> <p>A: The consortium in its entirety must meet the eligibility, not each consortium member, although certain criteria apply to each member individually. Please see GID section 5, Annex 3 and FAQ section C for more information.</p>
CN II-15	<p>Q: Can NGOs or INGOs apply as Applicant or Applicant Support Partner?</p> <p>A: National and international NGOs are eligible, if they fulfil the capacity criteria as mentioned in GID section 5.1.</p>
CN II-16	<p>Q: Are non-for-profit, inter-governmental organisations eligible to apply to the NAMA Facility?</p> <p>A: Non-for profit, inter-governmental organisations are eligible, if they fulfil the capacity criteria as mentioned in GID section 5.1.</p>
CN II-17	<p>Q: Can the ASP also be an Implementing Partner?</p> <p>A: Yes, this is possible. The ASP can become an Implementing Partner during the Implementation Phase. For more information on the role of Implementing Partners, see GID section 3.5 and FAQ 35.</p>
CN II-18	<p>Q: Is it possible for one organisation to be represented in more than one consortium applying to the 6th Call?</p> <p>A: Yes, that is possible.</p>

Question	D) Eligible support instruments in NSPs
CN II-19	<p>Q: What is the DPP Expert Pool about?</p> <p>A: For those Outlines pre-selected to enter the DPP, the NAMA Facility DPP Expert Pool is a group of experts made available to support in the process of further elaborating Outlines into NSP Proposals. Please see FAQs 90-92 and GID section 5.2.</p>
CN II-20	<p>Q: Can questions be submitted after the last Clarification Note?</p> <p>A: No, this won't be possible. Please make sure to submit your questions before 6 March 2019.</p>
CN II-21	<p>Q: Are financial support mechanisms eligible that target start-up enterprises and companies with emerging or innovative business models?</p> <p>A: In general, this is not excluded from support. However, it is recommended that the NSP and institution managing the financial support mechanism already have some experience on the market and that a robust risk management system can be demonstrated.</p>
CN II-22	<p>Q: Is the financing mechanism established under the NSP expected to have disbursed all funds and ceased operation by the end of the Implementation Phase of up to five years, or can it continue to disburse even after the Implementation Phase has lapsed?</p> <p>A: In order to mobilise additional funding, financial mechanisms like guarantee funds or credit programmes could revolve and operate also beyond the Implementation Phase. Hence, it is not expected that all funds are disbursed within the Implementation Phase. However, the success of an NSP is among others assessed and rated based on the investments within the Implementation Phase. In fact, it is expected that the financial mechanism already starts disbursing by, at the latest, year two of the Implementation Phase.</p>

Question	E) Submission of NSP Outlines
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CN II-23	<p>Q: Can an Outline be submitted to obtain NAMA Facility funds for a project already underway?</p>
	<p>A: A project already underway would typically not be eligible for NAMA Facility support. To be eligible in such a scenario, the NAMA Facility-supported element would need to be one project component within a much larger project context, e.g. a transit line within a much larger metro system development. Keep in mind that it will be crucial to clearly demonstrate additionality of the NSP.</p>
CN II-24	<p>Q: Is it possible to submit studies in lieu of the Logframe or other Annexes?</p>
	<p>A: No, please submit the Logframe and other Annexes using the templates of the 6th Call. Two exceptions from this rule might be considered - you may submit information requested in Annex 6 and Annex 7 in a different format, if this available and deemed more suitable to present the requested than the templates for Annex 6 and Annex 7. Nevertheless, please keep the information concise and short.</p>
CN II-25	<p>Q: How would end-of-life recycling of appliances be evaluated in the Outline assessment and do recycling capacities already have to be in place?</p>
	<p>A: In general, end-of-life recycling is eligible, if mitigation effects can be demonstrated. However, an NSP focusing on end-of-life recycling for appliances might find it difficult to demonstrate relevant potential for transformational change if not properly embedded in a wider framework or working along a value chain. Relevant recycling capacities should be available during the Implementation Phase; the NSP could consider strengthening these capacities during the implementation.</p>
CN II-26	<p>Q: How much more detailed is the NSP Proposal from the Outline in terms of number of pages, annexes, new sections, etc. Furthermore, why is the template not available on the website?</p>
	<p>A: Examples of Proposal templates from previous Calls are available on the NAMA Facility website and can serve as good guidance regarding what is expected as a result of the DPP. As the Proposal templates are further improved based on lessons learnt from previous Calls, the template for the ongoing Call is not yet available on the website.</p>
CN II-27	<p>Q: If it is the ministry itself that will submit the Outline, is the endorsement letter still needed?</p>
	<p>A: Yes, endorsement letters from the relevant line ministry, as well as the ministry in charge of climate change (if different) are required.</p>
CN II-28	<p>Q: Regarding Annex 7, is a cash flow analysis expected? Or should an income statement be provided?</p>
	<p>A: In Annex 7, a cash flow analysis is expected.</p>
CN II-29	<p>Q: As both the relevant line ministry and ministry responsible for climate change are required to submit endorsement letters, if both are involved with and support the NSP, which ministry should be the submitting entity? Does the NAMA Facility prioritize one over the other?</p>
	<p>A: No, the NAMA Facility does not prioritize any of the ministries. It is up to the submitting parties to decide who submits the NSP Outline.</p>
CN II-30	<p>Q: Does the NAMA Facility recommend the use of specific consultants to review and correct Outlines before submission?</p>
	<p>A: No, the NAMA Facility does not recommend or endorse any specific consultant for the quality check of Outlines.</p>
CN II-31	<p>Q: Regarding Mandatory Indicator 3, there are six "Results Categories" and the NAMA Facility expects that at least two are pursued. As these categories are quite different, can one set a "Target Value" under Indicator M3 for each "Results</p>

	<p>Categories" pursued, or must there be only one all-encompassing "Target Value" for all pursued "Results Categories"?</p> <p>A: Each "Result Category" can have its own "Target Value".</p>
CN II-32	<p>Q: Do mitigation calculations need to be included in the Outline, or just the Proposal?</p> <p>A: The NAMA Facility does require a detailed calculation of the mitigation potential to be included with the Outline. This information needs to be provided in an annex and is a very important requirement. You may wish to include further verification measures in the Detailed Preparation Phase concept, however if the ambition in this field is decreasing significantly during the Detailed Preparation Phase, it will lower your chances to receive funding for the Implementation Phase. The best available data should therefore already be provided at the Outline stage. Conservative calculations are encouraged. See the Outline template and GID section 5.1.3 for more information.</p>
CN II-33	<p>Q: Can an Outline be submitted to obtain NAMA Facility funds for the financing of fixed assets, such as charging stations, solar power stations or battery storage units?</p> <p>A: The financing of such assets could be supported by the NAMA Facility, as long as a direct mitigation effect can be demonstrated.</p>
CN II-34	<p>Q: Is there a specific format for the endorsement letter?</p> <p>A: There is no format for the endorsement letter, however it should express to the highest degree possible the commitment of the national government to the NSP. See also FAQ 54.</p>
CN II-35	<p>Q: Can an entity submit more than one application, or be involved in more than one Outline submission?</p> <p>A: No, there is no maximum and entities can be involved in more than one Outline submission.</p>
CN II-36	<p>Q: Is there any methodology prescribed to assess the mitigation potential?</p> <p>A: The NAMA Facility provides mitigation calculation guidance here.</p>
CN II-37	<p>Q: What kind of overheads or management/administrative fees can be budgeted for the DPP or the Implementation Phase?</p> <p>A: The NAMA Facility does not have any set rules regarding maximum overhead costs, however all such fees budgeted in Outlines, DPP Concepts and Proposals are thoroughly assessed and scrutinized by the NAMA Facility. For more information, see FAQ 68.</p>
CN II-38	<p>Q: For the Outline, is it enough to simply indicate the potential leverage of public and private funds or do we also need to indicate the sources from specific partners?</p> <p>A: The committed and expected funding, with specific figures from both public and private sources, should be indicated, not just "potential" sums.</p>
CN II-39	<p>Q: Must there be an NSO already identified at the Outline submission stage?</p> <p>A: If no NSO is identified at Outline submission, it can be identified later, up to three month into the DPP.</p>
CN II-40	<p>Q: Can we propose only one Outcome or do we need to have more than one Outcome?</p> <p>A: One Outcome is sufficient.</p>
CN II-41	<p>Q: Are there limits (minimum and maximum) on the number of Indicators that one can use at each of the three levels: Impact; Outcome, and Outputs?</p> <p>A: No, the NAMA Facility sets no maximum or minimum limit with regard to the number of indicators. However, all five mandatory core indicators have to be integrated and reported on. Please also keep in mind that all indicators should be formulated "SMART" (specific, measurable, achievable, realistic and time-bound).</p>

CN II-42	<p>Q: Would it be possible to have Mandatory Indicator M1 at the Impact level, Mandatory Indicators M2 and M3 at the Outcome level and Mandatory Indicators M4 and M5 at the Outputs level?</p> <p>A: The assigned level for Mandatory Core Indicators should follow the requirements from the M+E framework. See also FAQ 64.</p>
CN II-43	<p>Q:</p> <p>1) For the GHG emission reductions, is it permissible to separate Mandatory Indicator M1 into two indicators: Direct GHG emissions reductions and Indirect GHG emission reductions?</p> <p>2) Can we have two target values for the direct GHG emission reduction – one for the project duration and one for the lifespan of the RE/EE measures implemented?</p> <p>3) For the indirect GHG emission reductions, can we set the target values 10 years after the completion of the NAMA project?</p> <p>A:</p> <p>1) Yes, this is mandatory and completely in line with the updated M+E Framework. For further information, please see here.</p> <p>2) Yes, this is mandatory and completely in line with the updated M+E Framework. For further information, please see here.</p> <p>3) Yes, this is possible for indirect GHG emission reductions, but not mandatory.</p>
CN II-44	<p>Q: Is the transfer of emission reductions generated by the NSP through any carbon mechanism permitted by the NAMA Facility?</p> <p>A: No, the NAMA Facility does not support projects that transfer or generate carbon credits. For further information, please see GID section 5 regarding eligibility criteria and FAQ 52.</p>
CN II-45	<p>Q: How many submissions were received in previous calls and how many NSPs were selected?</p> <p>A: In the 4th and 5th call, 75 and 76 Outlines were submitted, respectively. Out of these, 8 and 7 projects were pre-selected to enter the DPP. See the statistics section of our website for more information.</p>
CN II-46	<p>Q: Is it possible and/or desired to submit additional Annexes, documents or studies?</p> <p>A: The NAMA Facility does not expect any additional documents and cannot guarantee that these additional information will be taken into account during the assessment of NSP Outlines.</p>
CN II-47	<p>Q: Can we submit a study on mitigation potential instead of Annex 6?</p> <p>A: Yes, but only if the study covers all aspects required in Annex 6.</p>
CN II-48	<p>Q: At what stage should financial institutions for the implementation of the financial mechanism be identified and named? Do they need to be named in the Outline, and if so, is such nomination binding (i.e. the nominated institutions will need to be maintained through the DPP, etc.)?</p> <p>A: Applicants and Applicant Support Partners should already be as specific as possible in the Outline. Other involved financial institutions, and their roles, should be as detailed as possible. The more clear and concrete information that can be provided, including that regarding financial ambition, project design and overall NSP readiness, the more positively the Outline will be assessed. In justified cases, the financial institutions might change during the Detailed Preparation Phase.</p>
CN II-49	<p>Q: What kind of history do Outline resubmissions have/what is the probability of a resubmission's success?</p>

A: While there is no preference for resubmitted NSPs and as a rule, re-submitted Outlines are treated the same as new submissions during the assessment, the current NAMA Facility portfolio includes eight NSPs that were selected after resubmission.

Question	F) Selection criteria
CN II-50	<p>Q: Regarding the eligibility criterion of additionality, if an existing project is already supported by other climate finance institutions, such as the GCF, would that preclude the project from obtaining NAMA Facility support?</p> <p>A: No, it would not preclude the project from obtaining NAMA Facility funding per se, but it would be crucial to demonstrate that the project would not happen without NAMA Facility funding.</p>
CN II-51	<p>Q: Who is assessing and selecting the Outlines?</p> <p>A: The decisions are taken by the Board members of the NAMA Facility, i.e. by representatives from Donors that provide funding to the NAMA Facility. When taking decisions, Donors take into consideration the assessment results from an independent assessor team that is identified in a procurement process, as well as from the TSU. More information on the assessment process is provided in the GID, section 5.1.4.</p>
CN II-52	<p>Q: Do NAMA Support Projects require immediate mitigation effects, or can these occur in the future?</p> <p>A: An NSP would not be excluded from consideration, were the GHG mitigation effects not immediately realized from the start of the Implementation Phase. However, concrete emission reductions should be achieved during the Implementation Phase. Please keep in mind that the NAMA Facility expects all Outlines to contain clear GHG mitigation calculations in Annex 6.</p>
CN II-53	<p>Q: Could an agriculture sector NSP calculate its emissions on a "per product" basis, rather than total emissions reduction?</p> <p>A: Yes, this is possible if a robust business-as-usual and mitigation scenario can be built. It is, however, strongly recommended to address rebound effects and demonstrate how they are minimized. A strong policy framework could serve as a good entry point for this.</p>
CN II-54	<p>Q: What does it mean for NAMA Facility NSPs to build on or utilize synergies with other projects?</p> <p>A: While the additionality of the NSP, and its delineation from other projects, must be clear, it can be positively assessed if the NSP can build on or learn from other projects in related areas. These could be projects driven by national governments or other international actors.</p>
CN II-55	<p>Q: Is the EUR 5-20 million budget for each NSP or the entire 6th Call?</p> <p>A: EUR 5-20 million is the suggested budget range for each NSP.</p>
CN II-56	<p>Q: While the NAMA Facility emphasizes mitigation projects, how are the benefits or impact of adaptation work assessed?</p> <p>A: The focus of NSPs should be on mitigation, not adaptation. However, in certain situations, adaptation measures could be a relevant co-benefit and as such be considered a driver for transformational change. The NSP will be assessed on its mitigation potential and potential for transformational change. For details on the assessment criteria, see GID section 5.1.3.</p>
CN II-57	<p>Q: Does investment from end-users (e.g., households) qualify as leveraged private funding?</p>

A: Yes, this qualifies as private funding mobilised, if the investment benefitted from the NSP support.

CN II-58 Q: Would it be possible to submit an Outline requesting a funding volume exceeding EUR 20 million, for example EUR 40 million?

A: Yes. However, the NAMA Facility expects funding volumes to be around EUR 5 – 20 million. Please also note that the NAMA Facility only has a certain amount of funding available for the 6th Call. A very big volume, for example in the range of what you have mentioned is hence not likely to receive funding from the NAMA Facility

Question G) Detailed Preparation Phase

CN II-59 Q: Is it possible to have an extremely short DPP if the level of readiness is high enough?

A: While the NAMA Facility welcomes submissions of NSP Outlines with a level of readiness high enough to immediately enter the Implementation Phase, per past experience most NSPs need at least the minimum amount of DPP time to further elaborate the project design and elaborate a comprehensive Proposal.

Last but not least...

Couldn't find an answer to your question?

In line with our [clarification policy for the 6th Call](#), please submit your question in writing to contact@nama-facility.org. We will publish the clarification on the NAMA Facility's website and also respond to your query directly. You can also submit further questions during the next webinar dedicated to the 6th Call on 13 February 2019.