

# PACIFIC NAMA GUIDELINES

DECEMBER 2012



Prepared for

**SPREP**

Secretariat of the Pacific Regional  
Environment Programme

**SPREP Library/IRC Cataloguing-in-Publication Data**

Secretariat of the Pacific Regional Environment Programme (SPREP)

Ward, Murray.

Pacific NAMA (Nationally Appropriate Mitigation Actions) guidelines /  
Murray Ward. – Apia, Samoa : SPREP, 2013.

40 p. : tables. ; 30 cm.

ISBN: 978-982-04-0479-3 (print)

978-982-04-0480-9 (online)

1. Climatic changes – Oceania. 2. Climatic changes – Government  
policy - Oceania. 3. Climate change – Mitigation – Oceania. I. Murray,  
Ward. II. Pacific Regional Environment Programme (SPREP) IV. Title.

363.738099

# PACIFIC NAMA GUIDELINES

DECEMBER 2012

Prepared for  
THE SECRETARIAT OF THE PACIFIC REGIONAL  
ENVIRONMENT PROGRAMME (SPREP)



# Acknowledgements

The Pacific NAMA Guidelines have been prepared by Murray Ward, Principal, Global Climate Change Consultancy (GtripleC)



**GtripleC**

# Background

Under the United Nations Framework Convention on Climate Change (UNFCCC), the international community has agreed that developing countries wishing to take voluntary nationally appropriate mitigation actions (NAMAs) may register these actions at the international level, and seek international support (finance, technology and capacity building) for these actions. They may also register actions for the purposes of international recognition for which they are not seeking external support. This can help provide the international process with a better understanding of the global mitigation picture.

The advent of NAMAs now opens up an opportunity for Pacific Island Countries (PICs) who wish to undertake voluntary mitigation actions to place their actions in the registry, and seek external support. Importantly, NAMAs provide a new 'window' of international support for mitigation in PICs and, in practice, one that has more potential supporting partners than what has previously been available to PICs.


At this point in the UNFCCC process on NAMAs there have not been any decisions on the format by which NAMAs should be prepared and submitted. There is ongoing work by the UNFCCC Secretariat to develop a 'dynamic web-based' international NAMA Registry. The first release of this is expected to be deployed at least two months before the 19th session of the UNFCCC COP in 2013, and a fully operational prototype of this deployed in April 2013.<sup>1</sup>

Of specific relevance to PICs is that in the decision on NAMAs taken at the UNFCCC COP17 in Durban in December 2011 it was explicitly noted that there was "**the need to extend flexibility to small island developing States and the least developed country Parties.**" (*paragraph 32 in Decision 2/CP.17*). This is important, as it can be expected that any guidelines applicable for general use by developing countries may have elements that, in practice, are very comprehensive, detailed and complex. A risk exists therefore that a future process and format for preparing and presenting NAMAs could present a significant barrier to SIDS and LDCs. They may be required to first undertake detailed preparatory 'capacity building' activities. At best, this may mean a delay in implementing mitigation actions; at worst they may choose to put mitigation to one side and just focus on their adaptation plans. Either way, in the immediate term, they can be missing out on support opportunities and perhaps will make investment decisions, e.g. in energy systems, that lock in higher emissions pathways.

SPREP is undertaking an initiative to build upon the results achieved under the Pacific Islands Greenhouse Gas Abatement through Renewable Energy (PIGGAREP) project and to identify potential NAMAs and work with countries to place these in the international NAMA Registry. Importantly, this initiative can help define in practice what 'flexibility' is needed to enable PICs to prepare and submit NAMAs in a timely fashion and with an appropriate level of effort commensurate with the national circumstances of these countries.

In particular, what is proposed is that this initiative develops a set of **Draft Pacific Nationally Appropriate Mitigation Actions (NAMA) Guidelines** and trials these guidelines by taking one Pacific Island country through the process of preparing a NAMA and submitting it to the international NAMA Registry.

This document provides these draft NAMA Guidelines, in particular the template for preparing and proposing NAMAs in section 3. Subsequent deliverables from this SPREP initiative will include a completed NAMA for the trial Pacific Island country and a full report on the overall project detailing the experience of the implementation of the draft guidelines in this country and setting out any proposed changes to the draft Guideline or its implementation.

This document first provides a section on 'NAMA basics'. In section 2 it identifies some key issues to be addressed in these guidelines for NAMA proposals by PICs. In both these sections the use of  'flags' highlights points made that are then specifically picked up in the design and content of the template in section 3.

<sup>1</sup> Per the Decision at COP18 on the Prototype of the registry available at [http://unfccc.int/files/meetings/doha\\_nov\\_2012/decisions/application/pdf/cmp8\\_prototypereg.pdf](http://unfccc.int/files/meetings/doha_nov_2012/decisions/application/pdf/cmp8_prototypereg.pdf)



# TABLE OF CONTENTS

List of Acronyms	6
1. NAMA basics – What are NAMAs and why are they important to PICs?	7
1.1 NAMAs in the UNFCCC – so far	7
1.2 What defines a NAMA – what are some examples?	7
1.3 The NAMA Registry – and matchmaking	8
1.4 Institutional requirements for NAMAs	10
1.5 Reporting requirements for NAMAs	10
1.6 NAMAs and addressing needs of developing countries – in particular PICs	11
1.7 NAMAs and (sustainable) development assistance for PICs	12
1.8 What are the needs of supporting partners (including donors)?	12
1.9 NAMAs – mitigation and other ‘co-benefits’	13
1.10 NAMAs compared with the CDM – or other new market mechanisms	13
1.11 NAMAs and REDD+	14
1.12 NAMAs and Technology Needs Assessments	15
2. Key issues to be addressed in Guidelines for NAMA Proposals by PICs	16
2.1 The ‘audience’ for NAMA proposals	16
2.2 Recognition of PIC circumstances – and ‘flexibility’	16
2.3 Speaking to the needs of support partners	17
2.4 Consistency with practices of ‘development assistance effectiveness’	18
3. Draft Guidelines – A template for preparing and proposing NAMAs	19
Appendix 1. Useful NAMA resources	25
Appendix 2. Templates for submitting information to the prototype UNFCCC NAMA Registry	33
Appendix 3. Templates by Ecofys for a NAMA proposal	41

## LIST OF ACRONYMS

<b>ADB</b>	Asian Development Bank
<b>CDM</b>	Clean Development Mechanism
<b>COP</b>	Conference of the Parties (to the UNFCCC)
<b>ETS</b>	Emissions trading scheme
<b>FDI</b>	Foreign direct investment
<b>GCF</b>	Green Climate Fund
<b>GEF</b>	Global Environment Facility
<b>GHG</b>	Greenhouse gas
<b>LEDS</b>	Low emissions development strategy
<b>MDGs</b>	Millennium development goals
<b>MRV</b>	Measurement, reporting and verification
<b>NAMAs</b>	Nationally appropriate mitigation actions
<b>NAPA</b>	National Adaptation Plan of Action
<b>PV</b>	Photovoltaic (solar cell)
<b>REDD+</b>	Reducing emissions from deforestation and forest degradation plus conservation and enhancement of forest carbon stocks and sustainable forest management
<b>SPC</b>	Secretariat of the Pacific Community
<b>SPREP</b>	Secretariat of the Pacific Regional Environment Programme
<b>TNAs</b>	Technology needs assessments
<b>UNCBD</b>	United Nations Convention on Biological Diversity
<b>UNCCD</b>	United Nations Convention to Combat Desertification
<b>UNDP</b>	United Nations Development Programme
<b>UNFCCC</b>	United Nations Framework Convention on Climate Change



# 1. NAMA basics – What are NAMAs and why are they important to PICs?

## 1.1 NAMAs in the UNFCCC – so far

The birth of the concept of NAMAs can be found in language agreed in the UNFCCC in the *Bali Action Plan* at the thirteenth Conference of the Parties (COP13) in Bali, Indonesia in 2007 on the subject of enhanced national/international action on mitigation of climate change.

*Bali Action Plan* Sub-paragraph 1 (b) (ii)

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.

On the one hand, that developing countries should agree to undertake nationally appropriate mitigation actions, reflects the enormity of the global challenge to limit global warming to 2°C (or 1.5°C which is the position of PICs) and that action by developed countries alone will not achieve this. However, rather than representing some potentially burdensome new commitment to take mitigation actions – especially for small vulnerable countries like PICs which must prioritise adaptation – the emergence and evolution of ‘NAMAs’ since the Bali COP can be seen as opening a whole new window of international support for mitigation actions that sit under and fit with these countries’ broader sustainable development objectives.

As might be expected, this evolution from the four words ‘nationally appropriate mitigation actions’ to this new international support modality ‘NAMAs’ has been a slow and cautious one. Parties have been feeling their way forward, starting to fill a ‘blank page’ through a series of information and idea sharing workshops and submissions. Indeed, NAMAs is not just a means for developing countries to seek support for mitigation actions; it also is a means for these countries to receive international recognition for mitigation actions they already are taking, and will take, without external support (so-called ‘unilateral NAMAs’).

But the major progress on NAMAs that has been made in the UNFCCC since Bali is the idea that there should be an international NAMA Registry where developing countries can present plans for mitigation actions and identify what support they need to accomplish these plans. In parallel, international support actors (such as countries directly or through bilateral development finance agencies and banks, or multilateral development banks or agencies, or international philanthropic groups, or the private sector) can also provide details of their potential support interests and modalities to the NAMA Registry. This opens up the possibility of a matchmaking activity and the reporting of actions being supported or still awaiting support.

## 1.2 What defines a NAMA – what are some examples?

There is no single or clear definition of the term NAMA. Principally this reflects that the term derives from the word ‘actions’ which can be described in many ways. In the UNFCCC the approach taken to defining NAMAs thus far has been to ‘catalogue’ actions that developing countries have described in their submissions where they have made some form of pledge of mitigation action sometimes conditional to international support<sup>2</sup>.

2 Information from these submissions can be found in documents: *FCCC/AWGLCA/2011/INF.1* (18 March 2011) and *FCCC/AWGLCA/2012/MISC.2* (24 April 2012), downloadable from [www.unfccc.int](http://www.unfccc.int) (TIP: Enter the document number in the Search box.)

There have also been a number of workshops on nationally appropriate mitigation actions by developing countries organised during recent UNFCCC sessions<sup>3</sup> and at inter-sessional regional events<sup>4</sup>.

From these submissions a number of possible categories of NAMAs have been identified:

- **National targets or goals (including at a sectoral level), e.g.**
  - Antigua and Barbuda: reduce GHG emissions by 25% below 1990 levels by 2020
  - Marshall Islands: reduce CO<sub>2</sub> emissions by 40% below 2009 levels by 2020
  - Mexico: reduce GHG emissions by up to 30% below BAU by 2020
- **National strategies, e.g.**
  - Costa Rica: the implementation of a 'long-term economy-wide transformational effort to enable carbon-neutrality' that will help the country to significantly deviate from business as usual emission scenarios from now until 2021 and beyond, with measures in the transport, energy forestry and waste sectors
- **Sectoral policies and programmes, e.g.**
  - Argentina: the implementation of a strong regulatory framework of decrees and laws in the sectors of energy efficiency, renewable energy, biofuels, forest management and solid waste management that will support mitigation programmes in all these sectors
- **Projects, e.g.**
  - Mongolia: the plan to install a large scale PV system in the Gobi Desert

For now, the intent in the UNFCCC is to be as flexible as possible so as not to constrain possible actions or support for them.

Another typology for describing NAMAs has been:

- Unilateral NAMAs – where no external support is being sought
- Supported NAMAs – where some form of international support is being sought
- Credited NAMAs – a form of supported NAMA where credits are created for the GHG achievements of the actions that are then used by other countries (or their entities) to meet their emission reduction commitments. (Note, however, that thus far this form of NAMA has not been recognised in the formal negotiations.)



The NAMA Proposals template in section 3 of this document focuses on supported NAMAs and in its Section 2 provides for flexibility in sectors, technologies and types of action.

## 1.3 The NAMA Registry – and matchmaking

Irrespective of the still fuzzy definition of NAMAs, it is clear that for many countries that have made submissions or given presentations at the NAMA workshops the key issue is about the possible support that they can receive to implement their actions. In time, then, it can be expected that a NAMA will become something that is described in a document prepared and presented in a structured manner and which provides the detail on planned mitigation actions that will facilitate the country to receive the support it is seeking.

It is to this end that the UNFCCC Secretariat was requested by Parties to develop and implement a NAMA Registry that would be open to public inquiry and facilitate the matching of support for these actions. The following text from the decisions taken at COP17 in Durban sets out the (minimum) information that Parties have been requested to provide to the Registry on NAMAs seeking international support:

3 Reports from these workshops are included in documents: *FCCC/AWGLCA/2012/INF.2* (13 August 2012) and for the workshop on 4 September 2012 at [http://unfccc.int/meetings/bangkok\\_aug\\_2012/workshop/7027.php](http://unfccc.int/meetings/bangkok_aug_2012/workshop/7027.php)

4 E.g. the *Regional workshop for Eastern European and Asia-Pacific regions to share experiences and lessons learned in the preparation and implementation of nationally appropriate mitigation actions* held in Armenia in July 2012

- a) A description of the mitigation action and the national implementing entity, including contact information;
- b) The expected time frame for the implementation of the mitigation action;
- c) The estimated full cost of the preparation;
- d) The estimated full cost and/or incremental cost of the implementation of the mitigation action;
- e) The amount and type of support (financial, technology and capacity-building) required to prepare and/or implement the mitigation action;
- f) The estimated emission reductions;
- g) Other indicators of implementation;
- h) Other relevant information, including the co-benefits for local sustainable development, if information thereon exists.

A working prototype of the NAMA Registry will be launched at COP18 in Doha in November 2012. Example templates of the input forms for this prototype registry are provided in Appendix 2 in this document. These help provide a sense of how computerised 'matchmaking' may work in practice, i.e. by searches of matching fields and keywords.<sup>5</sup>

In addition to the work of the UNFCCC Secretariat on this NAMA Registry, there have been efforts by other groups to come up with templates for what such NAMA proposals might contain. One such example is the work done by the international consultancy Ecofys which has been supported by the German government. Details of this are provided in Appendix 3. In particular, this effort has close links with the German development assistance agencies, which are very active supporters internationally of climate change actions in developing countries – both mitigation and adaptation. This work, therefore, provides insights from a support partner's perspective, i.e. what will be most useful for them to be able to make support decisions in a timely manner.

Importantly, the UNFCCC NAMA Registry should not be seen as providing any automaticity in funding; its foreseen matchmaking only goes as far as providing a forum for introductions. There is, as yet, no connection of the Registry with the Green Climate Fund (GCF); nor should the GCF be seen as the major likely source for support for mitigation support, or as the central vehicle for support funds for mitigation coming from developed countries.<sup>6</sup>

What is more likely is that all existing bilateral and multilateral sources of support for sustainable development initiatives in developing countries will continue to be sources for finance support of NAMAs. (See 1.8 below.) What is still unclear is how sources of finance from the non government sectors (i.e. philanthropic groups and the private sector) will connect with countries' NAMA support needs – other than that these will be made known publically through the NAMA Registry and other on-line NAMA databases.

Given the voluntary and bottom-up approach being taken to NAMAs, and that matchmaking is just of a 'making introductions' nature, it is fully feasible that developing countries will also find sources of support for NAMAs through their existing bilateral relationships with support groups, not via a matchmaking process using the UNFCCC NAMA Registry or some other on-line service. However, the availability of such matchmaking services broadens the global awareness of what developing countries are seeking to do, so increases the potential for countries to access the support they need in a timely fashion.



The NAMA Proposals template draws from and is consistent with the elements of the UNFCCC Secretariat's NAMA templates so will allow for easy 'copy and paste' transcription.

5 More details on the NAMA Registry including the matchmaking function are available in an *Information Note on the NAMA Registry Prototype* prepared by the UNFCCC Secretariat, which is available at [http://unfccc.int/files/adaptation/application/pdf/info\\_note\\_on\\_the\\_registry.pdf](http://unfccc.int/files/adaptation/application/pdf/info_note_on_the_registry.pdf). It is also expected that the Secretariat will issue a Registry guidance document to help countries to fill out the templates.

6 Note however that "The Fund will provide resources for readiness and preparatory activities and technical assistance, such as the preparation or strengthening of low-emission development strategies or plans, NAMAs, NAPs, NAPAs and for in-country institutional strengthening, including the strengthening of capacities for country coordination and to meet fiduciary principles and standards and environmental and social safeguards, in order to enable countries to directly access the Fund." From <http://unfccc.int/resource/docs/2011/cop17/eng/06.pdf>

## 1.4 Institutional requirements for NAMAs

There are no specific institutional requirements of developing countries with respect to NAMAs. Preparing and presenting NAMAs for support is entirely a voluntary choice that countries make.

However, as is generally the case in the UNFCCC, communications between the UNFCCC secretariat and countries will be done with the countries' National Focal Points. With respect to the NAMA Registry, the intention is to allow three different 'user roles', all of which require access rights:

- **'NAMA editors'** will be able to create, edit and submit NAMAs for approval. Multiple NAMA editors will be allowed per country;
- **'NAMA approver'** will be able to, in addition to being NAMA editors, approve and upload NAMAs into the registry for his/her country. Access rights will be provided for only one NAMA approver per country;
- **'Support editors'** will be able to create, edit and upload entries on information for support.

Only NAMAs approved by the 'NAMA approver' will be uploaded into the registry. Information on support will be entered in the registry without any centralised approval procedure. Access rights (password and login) will be provided by the secretariat at the request of UNFCCC focal points as well as representatives from entities and organizations offering support.

The above describes the situation as far as the UNFCCC process is concerned. In addition, in practice, it is likely that support bodies (such as development assistance agencies and multilateral or bilateral development finance institutions) will be looking for clear and accountable institutional processes in-country to ensure that any support provided (especially finance) is used to achieve the outcomes the NAMA is seeking to achieve.

This reflects the language in the Bali Action Plan's sub-paragraph 1 (b) (ii) *"...in a measurable, reportable and verifiable manner"*. There are clear institutional process and capacity implications of this. However, it should be noted that the NAMA support concept includes the potential for countries to receive support to put such measurement, reporting and verification (MRV) institutional capacities in place.



Details on 'NAMA Approvers' and 'NAMA Editors' are to be provided in Section 1 of the NAMA Proposals template.

## 1.5 Reporting requirements for NAMAs

MRV, then, is an integral part of the NAMA concept – both on the mitigation by countries side and on the support provided side. In the UNFCCC, the expectation is that the reporting on NAMAs (planned for, proposed and implemented) is something that will happen in National Communications and the new 'biennial update reports' by developing countries, the requirement for which was agreed in the same set of decisions at COP16 in Cancun, and elaborated at COP17 in Durban<sup>7</sup>.

However, the guidelines for these biennial update reports, in general and on mitigation specifically, are only provided at a high level, so not with much detail. What level of detail of reporting on NAMAs is needed is therefore still unclear, so still work-in-progress. As with other aspects of NAMAs it is likely that 'good practice' in this area will emerge over time and be associated with what are seen as NAMA success stories.

This suggests that this will reflect arrangements for MRV that have been sorted out and agreed between developing countries and the support partners of specific implemented NAMAs. The question then is not about what are the minimum (least burdensome) MRV requirements that must be met; rather it is what are reasonable MRV requirements for a given NAMA that meet the needs of the support partners and are feasible for the countries given their capacity circumstances. (Note, however, the discussion about 'Credited NAMAs' and 'NAMAs and the CDM' in sections 1.10 below.)

In taking this approach, it becomes evident that MRV is not just about greenhouse gases, although this can be expected to be the preoccupation of the UNFCCC. As further set out below, 'nationally appropriate mitigation actions in the context of sustainable development' in practice are normally part of a broader set

<sup>7</sup> In Annex III of decision 2/CP.17

of development objectives. This is especially true for PICs for which addressing the challenges of climate change is much more about adaptation and climate resilience. So the 'story' of a particular NAMA that has attracted a particular support partner (or partners) is very likely to have these much broader attributes. The measurement and reporting (and perhaps verification) of outcomes is likely to then also be seen in this broader light.



Details on the intended MRV of the proposed NAMA are to be provided in Section 7 of the NAMA Proposals template.

## 1.6 NAMAs and addressing needs of developing countries – in particular PICs

The priority for development in PICs (as with many developing countries) is to achieve the millennium development goals (MDGs), which they aim to do by 2015. Important issues faced in sectors typical of where climate change mitigation may also happen include:

- **Energy:** addressing challenges of energy security (e.g. adequate and reliable supply, including rural electrification) and energy affordability (high and growing cost of fossil fuels to energy consumers and/or to the public budget); providing effective and efficient mobility methods and infrastructure
- **Sustainable land management:** protecting and enhancing forests (for water catchments and multiple other ecosystem services) in the face of forest product demands including for energy; achieving optimal land-use given food security demands (e.g. agricultural product choice in the face of the economics of international agri-commodities, including bioenergy crops)
- **Water and waste management:** addressing water availability and quality, solid waste and sanitation problems (often severe and a major source of disease and mortality)

Climate mitigation actions, in the first instance and in the near term, are most likely to be connected to these other priorities, not conceived of as standalone measures. This is not to say that the climate mitigation outcomes may be secondary or insignificant. The synergies between the sustainable development outcomes sought and climate change mitigation can be powerful.

PICs have additional challenges in achieving their sustainable development goals; they also are already experiencing and facing the effects of climate change, which can be extreme and punishing to their communities and economies. A growing recognition is the need for 'climate resilient' sustainable development. In practice this can mean taking a holistic (so-called 'ridge to reef') approach to community and economic planning. Such an approach integrates climate change adaptation, climate change mitigation and disaster risk management within climate resilience investment programmes<sup>8</sup>.

The formulation of NAMAs in PICs needs to take these broader contexts and synergies into account and not try to frame climate change mitigation in a narrow fashion that runs contrary to what is occurring in sustainable development investment programmes in the region.



Details on the broader situational and strategic policy of the proposed NAMA are to be provided in Section 3 of the NAMA Proposals template.

<sup>8</sup> For example Papua New Guinea, Samoa and Tonga are participants in the *Pilot Programme for Climate Resilience*, an initiative of the Climate Investment Fund (see <http://www.climateinvestmentfunds.org/cif/ppcr>). Samoa has recently developed a *Draft Strategy for a Climate Resilient Samoa* which, among other things, seeks to coordinate overall donor funding initiatives under a Climate Resilience banner.

## 1.7 NAMAs and (sustainable) development assistance for PICs

It is commonplace for PICs to have a wide range of development assistance agencies active and projects occurring in their countries. These include, inter alia:

- Projects funded from the Global Environment Facility (GEF) and the UNFCCC Adaptation Fund via e.g. UNDP
- Projects funded by the Climate Investment Funds via e.g. the World Bank, ADB and UNDP
- Projects financed with concessional loans from the World Bank and ADB
- Projects funded by bilateral development agencies and financial institutions of multiple European countries, the EU, Australia, New Zealand, Japan, China and the United States

Projects are often done in implementing partnerships with regional agencies such as the Secretariat of the Pacific Community (SPC) and SPREP.

In addition to objectives associated with the fuller set of MDGs, there can be multiple (and often overlapping) projects associated with funding and investment workstreams coming out of all three UN Rio conventions (FCCC, CBD and CCD). This is true for adaptation and mitigation, in particular as it applies to land-use based issues.

In some cases, through the creation of more centralised 'portals' in finance ministries, PICs are trying to better coordinate what is seen as being a donor driven, often narrow programme/project approach to development assistance. It is hoped that this will lead to a more strategic and country-owned approach to sustainable development finance – and greater levels of investment.

As set out in section 1.6 above, climate mitigation (and even 'low emissions development'), is unlikely to take precedence over the broader objectives of national development strategies. The development and implementation of NAMAs will contribute most valuably if it works within these broader strategic approaches to development investment. It will be unhelpful if it just adds to the already busy narrow programme/project landscape.

Furthermore, if NAMAs have strong additional sustainable development attributes it is likely that these low carbon actions will be sustained over time and mainstreamed in the countries' development strategies and plans.

## 1.8 What are the needs of supporting partners (including donors)?

On the support partners' side, public agencies are seeking:

- Good 'stories' and successful sustainable development outcomes
- Successful disbursement – effective and efficient use of funds (especially public funds from taxpayers)
- Good working relationships with in-country partners – 'low maintenance' process
- MRV of use of funds and outcomes achieved – for 'back home' transparency and accountability

In practice, indicators that such outcomes are likely will be include such things as there being high-level political commitment and inter-ministerial collaboration, clearly defined institutional responsibilities, good process that engages both government and non-government stakeholders and the building of local expertise and 'ownership' of achievements.

Non-government support partners are looking for these same things. In addition the private sector will be seeking returns on investment, commensurate with the risks of investment.

In supporting NAMAs, there is an added specific objective, climate change mitigation – so reductions in emissions of greenhouse gases or enhancements of sequestration by 'sinks' (such as growing forests, including mangroves). One message that also has been evident in presentations on NAMAs made by developed countries and their development assistance agencies, is that they see NAMAs as needing to be more about programmatic approaches to mitigation outcomes – so at a national and strategic level – and not so much about projects, for which other support mechanisms exist and are being enhanced (e.g. the Clean Development Mechanism).

## 1.9 NAMAs – mitigation and other ‘co-benefits’

It is clear that the preoccupation of the UNFCCC process around NAMAs will be mitigation outcomes. This is to be expected. However, given the issues raised above in sections 1.6-1.8, it seems likely that mitigation outcomes may be only one aspect of interest for the NAMA support partners. In this sense, the situation is not dissimilar to the difference between voluntary carbon markets (where multiple ecosystem and social benefits of actions can also be valued) and compliance carbon markets (where it’s mostly all about ‘carbon’).

While NAMAs can be seen as a UNFCCC creation, it is not the case that the UNFCCC process is going to be directly responsible for the support of NAMAs. As noted above, the NAMA Registry’s matchmaking feature will only be of a ‘making introductions’ nature. And, as yet, there are no formal links to any new climate finance mechanisms under the UNFCCC, including the GCF, in particular which cause restrictions on any other finance modalities that exist for interested international support partners.

This suggests that, when viewing things from the expected support partners side, the ‘co-benefits’ that investments in NAMA programmes and projects can bring may be a major reason for their decision to support them. This is important to PICs as, in practice, their GHG emissions can be very low, so any mitigation gains will be very small in quantitative terms – and insignificant in the global mitigation picture. However viewed in the broader picture of the significance to sustainable development in these specific countries, NAMA initiatives can score very highly.

## 1.10 NAMAs compared with the CDM – or other new market mechanisms

Market mechanisms such as the CDM (including its programme of activities version) and any new market mechanisms that may emerge in ongoing UNFCCC negotiations are characterised by a credit buyer side that, primarily, is in the private sector. These can be:

- end use buyers that, for example, need to buy credits to be in compliance with domestic emissions obligation schemes (such as the EU ETS, the NZ ETS, the upcoming Australia carbon pricing mechanism when it moves to market-based trading in 2015, and ETS schemes at the state and/or regional level in the USA.); or
- intermediary buyers, e.g. carbon funds or financial institutions and brokers, that acquire credits from CDM project or programme activities, and on-sell them in the secondary market to the eventual end-use buyers.

It is also the case that some public sector multilateral and bilateral development banks and agencies have established carbon funds, on behalf of both public sector and private sector players, so act as intermediaries.

Another characterising feature is that these mechanisms are so-called ‘offset mechanisms’. The credits that are generated by reductions of GHG emissions (or enhancements of sinks) in host developing countries that would not have happened in the absence of these projects/programmes (so-called ‘additionality’) are then able to be used to offset the emission reduction commitments of entities in developed countries. This allows emissions to be higher in these ‘credit user’ countries. It is for this reason that an elaborate set of rules and institutional processes have built up around the CDM and other such offset mechanisms to help ensure that these projects/programmes truly are additional – otherwise emissions to the atmosphere may be greater than if the projects/programmes did not occur.

In contrast, where the support provided for NAMAs is financial, it most likely will not be with a view to creating credits, so no 'offsets'.<sup>9</sup> This is a fundamental difference, and reflects the quite different core thinking (and eras) between the CDM and NAMAs.

As conceived, NAMAs are therefore quite different to the CDM in a number of ways:

- The support partners are more likely to be from the public sector, so bilateral and multilateral agencies including development finance institutions – although it is feasible that non government groups may provide support, e.g. in capacity building efforts and finance (or most likely co-finance, alongside public finance).
- Except in the case of possible future Credited NAMAs, the fact that NAMAs do not produce credits/offsets changes the whole picture of what levels of stringency of MRV are needed. The atmosphere is no longer put at risk, so the question becomes what levels of stringency of MRV are adequate to meet the needs of those support partners involved in the specific NAMA initiative. This provides for much greater flexibility in the whole MRV area, and likely faster support decisions and implementation of NAMAs.
- From what prospective support partners have been saying in presentations at NAMA workshops, they are looking to NAMAs to be transformational in nature, so more at the policy and programmatic level and not so much at the project level (except perhaps for very large or very replicable projects). This also suggests that on the developing country side there is much more involvement of governments in such activities than there has been, thus far, in the CDM – so the governments are the primary counterparty, not private sector project developers.

Importantly, NAMAs and CDM activities are not mutually exclusive. It is fully conceivable that in a programme of planned actions set out in an overall NAMA there are elements at the project level that can receive support through the CDM – and go through the full CDM process. A key issue to be addressed here is 'double counting' – that such actions are not 'paid for twice' and neither are the emission reductions claimed by both the host country and the CDM credit user country in terms of meeting any commitment or pledge (which also is an issue for 'Credited NAMAs'). This is particularly important for developing countries stating mitigation goals in terms of carbon neutrality.

Future 'new market mechanisms' under the UNFCCC can also be designed by Parties to be complementary with NAMAs.

Finally, a key point of difference is that financial support for NAMAs does not rely on the uncertainty of the prospective value of CDM credits in international carbon markets.

## 1.11 NAMAs and REDD+

In the UNFCCC process the issues of NAMAs and REDD+ (reducing emissions from deforestation and forest degradation plus conservation and enhancement of forest carbon stocks and sustainable forest management) have proceeded on separate and parallel tracks, with progress on REDD+ generally seen as being ahead of that on NAMAs.

There are some obvious similarities. REDD+ is about mitigation, here in the land-use sector, in particular relating to forests. The focus for REDD+ is again more at the national and policy/programmatic level, although the issue of achieving support for project scale activities and investments on the ground is a key one. There is an understanding that REDD+ is not just about mitigation and 'carbon', so a strong emphasis on adaptation and ecosystem services associated with forests and, as well, on broader sustainable development and social issues. There is an understanding of the critical need for capacity building – and financial support processes for so-called 'REDD Readiness' that have been initiated to begin to provide this.

One difference is that thinking on REDD+ initially began with the notion that this most likely will be (or could be, at least) primarily a market-based crediting mechanism, so involve the provision of offset credits that can be used by developed countries and their entities. This has raised the stakes on MRV and, possibly, could be a key reason why in recent years progress in the UNFCCC has been slower than the initial proponents for REDD+ had hoped for. Notably, thus far, the only project scale activities that have received financial support

<sup>9</sup> Although there is the potential for 'Credited NAMAs' and this is still a subject of ongoing UNFCCC negotiations on New Market Mechanisms



through the creation and sale of REDD+ credits have occurred in the voluntary carbon market.

It seems likely that NAMAs and REDD+ will continue on separate tracks in the UNFCCC. However, it seems conceivable that some land-based mitigation activities could be framed up by countries as NAMAs or within broader NAMAs that have elements of land-use activities. One obvious cross-over point could be around bioenergy. More particularly, if an integrated approach to sustainable development finance is being taken by countries and support partners as discussed in section 1.6 (e.g. under a climate resilience banner), it seems clear that anything to do with land-use would be integral to this. NAMAs and REDD+ then just become part of a bigger whole.

## 1.12 NAMAs and Technology Needs Assessments

Technology is one of the three legs of NAMA support – the other two being capacity building and finance. It is natural therefore that the work on technology needs assessments (TNAs) that has been undertaken over a number of years in the UNFCCC will now flow into the NAMA process.

More than 90 countries have participated to some degree in the TNAs process, including Samoa and Niue. Countries that have completed a TNA can build on the outputs from the TNA process regarding mitigation technology choices, deployment targets and the supporting actions and policies needed to achieve these targets. TNAs, NAMAs (and low emissions development strategies) are all aimed at helping developing countries pursue their development priorities while reducing GHG emissions – and each of these initiatives may focus on different aspects of the process.



## 2. Key issues to be addressed in Guidelines for NAMA Proposals by PICs

### 2.1 The 'audience' for NAMA proposals

As discussed in section 1.3, the audience for NAMA proposals is much broader than the UNFCCC community which can be accessed via the UNFCCC NAMA Registry. There are other on-line information services on NAMAs and, as well, countries have existing bilateral relationships with many of the potential NAMA support partners that can be expected to be active in their regions.

This argues for the template for NAMA Proposals by PICs to be customised for the circumstances of PICs and generic in the sense that they should be open for consideration by a range of potential support players. In short, just meeting the minimum format(s) of the prototype UNFCCC NAMA Registry proposal templates (shown in Appendix 2) is not enough.

This 'customised and generic' approach is taken in the formulation of the template developed in section 3.



The NAMA Proposals template has adopted a 'customised and generic' approach in its design for the providing of a more comprehensive sustainable development-connected story to potential support partners.

### 2.2 Recognition of PIC circumstances – and 'flexibility'

Given the vulnerabilities of PICs to the effects of climate change, including severe events that have already happened which typify what is expected to occur more frequently in the future, the focus of PICs in their climate change work has been on adaptation. While this is now beginning to be on climate resilience, a more integrative concept including mitigation and disaster risk management as well, the fact remains that work on 'low emissions development strategies' (LEDS) and mitigation is much less advanced than on adaptation.

In general this means that national greenhouse gas inventories are not completely developed or up-to-date (except where there have been recent funded technical assistance efforts to do this in specific countries). Neither are there well developed projections of national emissions, e.g. in these countries' National Communications to the UNFCCC, which also are generally not recent, except for some countries.

One school of thought might then be that getting this 'homework' done first is the priority for work on NAMAs in PICs – so that the support needed now is all about capacity support for the preparation of NAMAs, so not yet about the implementation of NAMAs.

However, such thinking would miss the point that there has been a substantial effort in many PICs to develop strategies, plans and prospective investment programmes for sectors that mirror those most often seen as the focus of NAMAs – so, for example, on renewable energy, sustainable land management and waste and sanitation. As discussed in sections 1.6 and 1.7, this has been done under the umbrella of MDGs and sustainable development, and supported by bilateral and multilateral development agencies.

It would therefore be entirely wrong to believe that PICs are not ready for the implementation of NAMAs, and need to go through formulaic capacity building initiatives first, including considering LEDS. This is not to say that 'preparatory' capacity building may not be needed. In some cases it most definitely will be. But there will be cases where it is not, as sufficient work has already been done under other development assistance banners to prepare countries to implement NAMAs given appropriate financial support. Even where preparatory capacity building is needed for NAMAs, the way that this is to be done must be mindful of the national circumstances of PICs including that there could be significant capacity building activities occurring already that may be directly relevant. It can be entirely unhelpful to propose a new LEDS/NAMAs institutional 'silo' at the same time countries are trying to rationalise all the existing technical assistance activities and find ways to mainstream common sustainable development concepts and support streams.



The NAMA Proposals template has been designed with a view to the implementation of NAMAs. This reflects the circumstance where sufficient preparatory efforts have already been made and a prior step of building capacity to enable the development of the proposal for a NAMA is not required.

At a more technical level of detail, there are two potential ‘traps’ that need to be avoided if support for implementing NAMAs in PICs is to be available in a timely manner. The first is around so-called ‘baselines’. In the first instance this is most likely to be seen as projections of GHG emissions given some scenario of business as usual practice extending into the future. Some may see this as requiring as a first step the undertaking of detailed economic and technical modelling, including the use of so-called mitigation cost curves.

The second trap is around the ‘cost of action’, or more particularly the notion of ‘incremental cost’. This is entirely a creature of a now decades-old debate in the UNFCCC about what financial support can be expected to be provided by developed countries to developing countries as part of commitments made in the original language of the UNFCCC, agreed in 1992. This is connected to the first issue on baselines and analytically can fall out of the same detailed modelling studies using cost curves.

Such complex and costly analytical exercises may (perhaps) be justified for large developing country economies. However, for PICs the undertaking of such exercises is likely to just be an expensive waste of time and a major barrier to timely action. Any results are entirely bound up in the assumptions of how countries will develop, so potentially will be contentious and contestable. Past history is in no sense an acceptable predictor of business-as-usual; this is why countries are striving to meet and beat MDGs with international support. Moreover, the practical issue of scale needs to be considered. PIC economies are simply not that large or complex. And their GHG emissions are mostly very small, so the numeric outcomes in GHG terms of mitigation actions and the costs of taking such actions inconsequential in the global picture.

For these reasons the treatment of baselines and costs in NAMA proposals by PICs needs to be done in more of a qualitative fashion, and which meets the actual needs for proposals by PICs of prospective support partners. This is a key aspect of the ‘flexibility’ called for in the Durban text on NAMAs (see Background section). It is important that NAMA proposals by PICs tell very clear stories about what objectives the NAMA actions are seeking to achieve (including with some numeric detail), how these fit with the countries’ efforts to develop and meet MDG and sustainable development goals (and the support they are already receiving and expect to receive to do this) and what the costs of such actions are expected to be that are not already covered with existing national budgets and international support.

This can give prospective support partners for these NAMAs a clear picture of what it is they are supporting and what outcomes can be achieved. It is unclear that anything more quantitatively detailed and numeric is needed. Notably, unless there is any proposal that such NAMAs should be of a crediting form, there is no issue about the atmosphere possibly being put at risk (see the MRV discussions in sections 1.5 and 1.10). So this removes the need for understanding things ‘down to the last tonne’ which has been a complaint about processes under the CDM.



The NAMA Proposals template does not require that detailed quantitative analyses of emissions and cost baselines have been undertaken and the results provided. Rather, in Section 5 and Section 6 it addresses these issues in a more qualitative manner.

## 2.3 Speaking to the needs of support partners

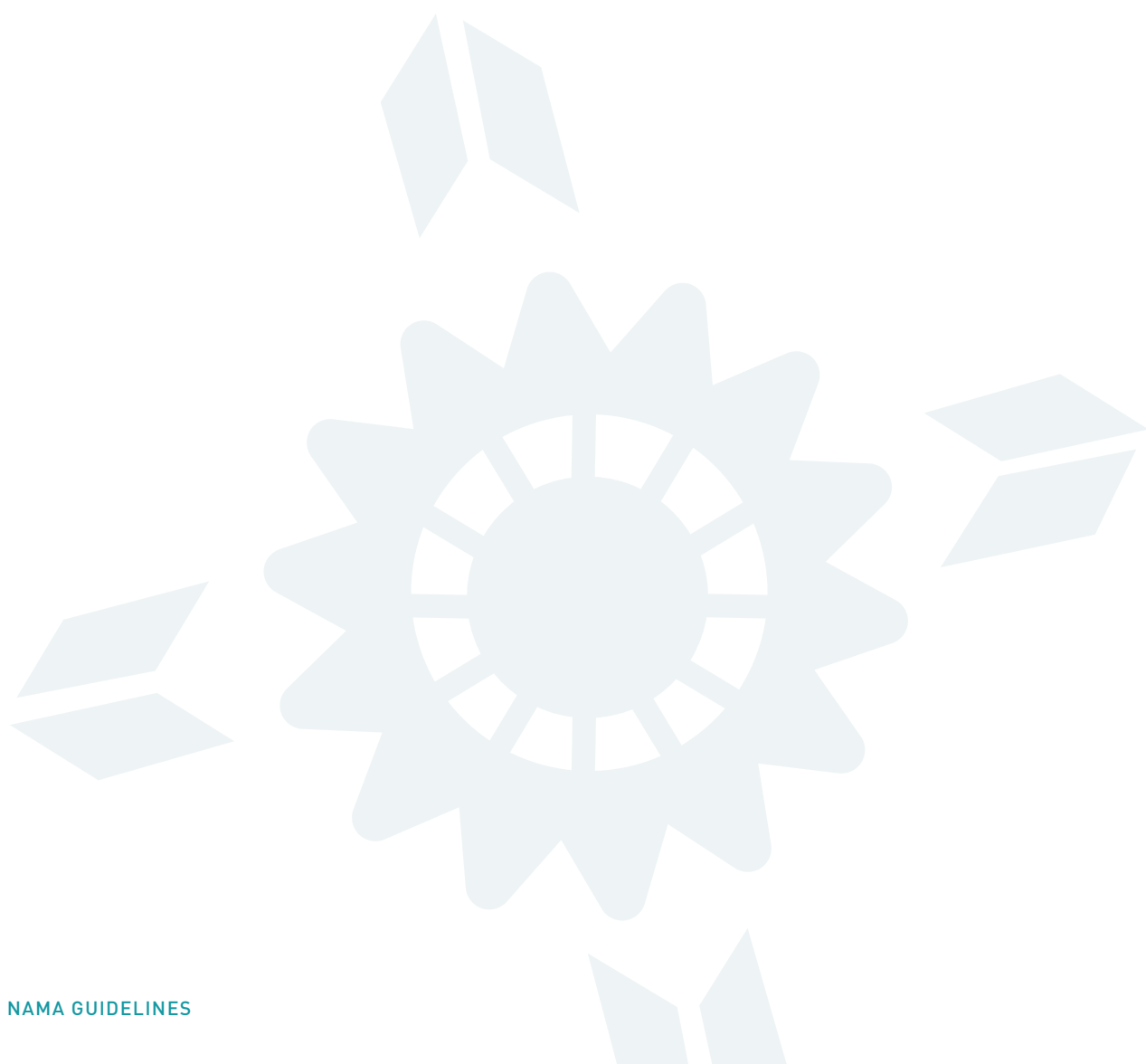
Section 1.8 set out a list of what are seen as the needs of support partners – both public and non-government/private. The template developed in section 3 has been particularly guided by this discussion. The more NAMA proposals can be seen to meet the objectives and needs of support partners – which can go well beyond just climate change mitigation and cost-effective GHG reductions – the greater the chances are of successful matchmaking.



See Section 7 of the NAMA Proposals template.

## 2.4 Consistency with practices of ‘development assistance effectiveness’

NAMAs can be seen as something of a ‘new kid on the block’ in terms of development assistance modalities. It will be most helpful if those active on the support partner side of NAMAs are well versed with what is seen as best practice in the development assistance community and seek to adopt such practice from the outset. An example is the principles set out in the Paris Declaration for Aid Effectiveness, in particular those relating to a country-owned and county-driven approach to financial management systems and reporting. These are intended to redress perennial problems in aid finance of duplication of financial reporting through different management systems, and of over-complexity.



### 3. A template for preparing and proposing NAMAs

*(Further guidance about the level of detail that might typically be included can be seen in the First Cook Islands NAMA on “Supporting 100% Renewable Electricity Implementation”. The development of this Cook Islands NAMA was the first ‘roadtest’ use of this template and the Pacific NAMA Guidelines.)*

#### GENERAL INSTRUCTIONS:

1. Providing the information requested in this template will enable the completion of the minimum detail requested in the UNFCCC NAMA Registry proposal templates for countries seeking support. It also provides additional information that is expected to be of interest to prospective support partners and which is customised to the circumstances of Pacific Island Countries.
2. Proposals using this template (or derived from this template) can be presented to prospective support partners through the UNFCCC NAMA Registry, through other on-line NAMA information services and through more direct bilateral channels.
3. Information should be provided at a level of detail that is applicable to the specific ‘question’ in the judgement of the party completing the information, and given the knowledge of the level of detail of information that is available. The primary purpose of this NAMA proposal stage is to ‘catch the interest’ of prospective support partners. It can be expected that there will be subsequent stages of communication with such parties and that they will identify additional information that they need to be able to make a decision whether and how to support this NAMA.

#### SECTION 1. General Administrative Details for National Implementing Entity of this NAMA

Country	
Title of this NAMA	
UNFCCC Focal Point	
NAMA ‘Approver’	
NAMA ‘Editor(s)’ for this NAMA	
Contact person for this NAMA <i>(Include agency, address, contact title, phone and email details)</i>	
Alternate contact for this NAMA <i>(Include agency, address, contact title, phone and email details)</i>	

## SECTION 2. General description of this NAMA

<b>Description of NAMA</b> <i>Including the main objective</i>	
<b>Sector</b>	Enter x in relevant box(es) <input type="checkbox"/> Energy supply <span style="float: right;"><input type="checkbox"/> Forestry</span> <input type="checkbox"/> Industry <span style="float: right;"><input type="checkbox"/> Agriculture</span> <input type="checkbox"/> Residential and Commercial Buildings <span style="float: right;"><input type="checkbox"/> Waste Management</span> <input type="checkbox"/> Transport and its Infrastructure
<b>Technology(ies)</b> <i>If applicable</i>	Enter x in relevant box(es) <input type="checkbox"/> Bioenergy <span style="float: right;"><input type="checkbox"/> Cleaner Fuels</span> <input type="checkbox"/> Energy Efficiency <span style="float: right;"><input type="checkbox"/> Geothermal energy</span> <input type="checkbox"/> Hydropower <span style="float: right;"><input type="checkbox"/> Solar energy</span> <input type="checkbox"/> Wind energy <span style="float: right;"><input type="checkbox"/> Ocean Energy</span> <input type="checkbox"/> Carbon capture and storage <span style="float: right;"><input type="checkbox"/> Low till / No till</span> <input type="checkbox"/> Landfill gas collection <input type="checkbox"/> Other (Please describe here)
<b>Type of action(s) in this NAMA</b> <i>As applicable</i>	Enter x in relevant box(es) <input type="checkbox"/> National/Sectoral goal <input type="checkbox"/> Strategy <input type="checkbox"/> National/Sectoral policy or programme <input type="checkbox"/> Project (or programme of projects): Investment in equipment <input type="checkbox"/> Project (or programme of projects): Investment in infrastructure <input type="checkbox"/> Project Other (Please describe here) <input type="checkbox"/> Other (Please describe here)
<b>Greenhouse gases covered by the action</b>	Enter x in relevant box(es) <input type="checkbox"/> CO <sub>2</sub> <span style="float: right;"><input type="checkbox"/> CH<sub>4</sub></span> <input type="checkbox"/> N <sub>2</sub> O <span style="float: right;"><input type="checkbox"/> HFCs</span> <input type="checkbox"/> PFCs <span style="float: right;"><input type="checkbox"/> SF<sub>6</sub></span> <input type="checkbox"/> Other (Please describe here)
<b>Key tasks and timeframes</b>	Please describe in a summary fashion the major tasks or milestones in the implementation of this NAMA, including tasks of a preparatory nature (including institutional and community stakeholder capacity building) that are required or are desirable in advance of the implementation of this NAMA. (Note that further detail of the activities in the implementation plan will also be provided in section 4.)  Also, identify the timeframes involved, e.g. the expected start year of implementation and the number of years for completion.

### SECTION 3. The broader situational and strategic policy context of this NAMA

The information provided in this section should help prospective support partners get a clear understanding of the overall sustainable development objectives for the country including in the sector(s) in which this NAMA is focussed. **It should also provide, at a summary level, detail on the current major policies, strategies, plans and programmes that are underway and planned where there are obvious links and/or synergies with the proposed NAMA.** This should also include identifying the existing support for these in existing national budgets, and that being provided or expected from existing international development support partners. If there are current existing or planned CDM projects operating in the focus sector(s) of the proposed NAMA, this detail also should be provided.

<b>General</b>	
<b>Relating to the specific sector(s) which are the focus of this NAMA</b>	

### SECTION 4. Description of the activities to be undertaken in the NAMA

The information provided in this section should help prospective support partners get a clear understanding of what is going to be done in the implementation of this NAMA.

<b>Scope</b> <ul style="list-style-type: none"><li>▪ Sub-sector/thematic area</li><li>▪ Geographical</li><li>▪ Technological</li><li>▪ Social (target group)</li></ul>	
<b>Activities</b> <i>Including in the implementation plan, and that also covers any preparatory 'pre-implementation' activities</i>	

## SECTION 5. The expected mitigation and other beneficial outcomes of this NAMA

The information provided in this section should help prospective support partners get a clear understanding of the potential benefits of this NAMA. This should include numerical information, as available, and cover both the climate change mitigation benefits as well as any other climate resilience benefits (including adaptation and disaster risk management) and other local sustainable development benefits (environmental, social and economic). This section will be read also in the light of the information provided in section 3, so any obvious linkages that help with the understanding should be drawn out.

In describing benefits, it will be helpful to cast these in a 'with and without' manner, i.e. how will this NAMA have an effect on the drivers and trends that influence emissions in the sector(s) this NAMA involves, so help achieve the beneficial outcomes described. An assessment of existing barriers to the otherwise achievement of these outcomes, and how the NAMA, perhaps in conjunction with other measures, might overcome these barriers can be one useful method to help explain the role of the NAMA.

Some types of barriers that might be addressed include economic/financial barriers, (including hidden costs and market failures), behavioural and organisational barriers, information barriers, and political and structural barriers.

Mitigation benefits	
Other benefits	





## SECTION 6. Support needed

The information provided in this section should help prospective support partners get a clear understanding of the support that is needed to implement this NAMA (both types and amounts) and why this support, if provided, is expected to result in successful outcomes.

<p><b>Pre-Implementation Phase</b></p>	<p><b>Capacity Building</b></p> <p><i>Please identify the types of capacity building support needed in the pre-implementation phase using the categories below, and the amounts, e.g. in 'person-hours' or financial cost terms. For costs, identify any amounts included in the finance section below. Under 'human capacity' provide any relevant detail on gender issues.</i></p> <p><input type="checkbox"/> Institutional development</p> <p><input type="checkbox"/> Human capital</p> <p><input type="checkbox"/> Systemic (policies, legislative, regulatory, etc)</p> <p><input type="checkbox"/> Other (Please describe here)</p> <p><b>Finance</b></p> <p><i>Please identify the costs of activities needed to prepare for the implementation of the NAMA and the support required and nature of this support, e.g. grant, loan etc (see the detail provided under Implementation Phase below). Identify the currency that any such amounts are in.</i></p>
<p><b>Implementation Phase</b></p>	<p><b>Capacity Building</b></p> <p><i>Please identify the types of capacity building support still needed in the implementation phase using the categories below, and the amounts, e.g. in 'person-hours' or financial cost terms. For costs, identify any amounts included in the finance section below. Under 'human capacity' provide any relevant detail on gender issues.</i></p> <p><input type="checkbox"/> Individual level</p> <p><input type="checkbox"/> Institutional level</p> <p><input type="checkbox"/> Systemic level (policies, legislative, regulatory, etc)</p> <p><input type="checkbox"/> Other (Please describe here)</p> <p><b>Finance</b></p> <p><i>In addition to the general narrative in this section which should identify the expected costs of implementing this NAMA, please include specific detail, if applicable and as available, on the following types of possible financial support. Where estimated amounts are provided, identify the currency that any such amounts are in.</i></p> <p><input type="checkbox"/> Grant <span style="margin-left: 200px;"><input type="checkbox"/> Concessional loan</span></p> <p><input type="checkbox"/> Loan (sovereign) <span style="margin-left: 150px;"><input type="checkbox"/> Loan (private)</span></p> <p><input type="checkbox"/> Guarantee <span style="margin-left: 200px;"><input type="checkbox"/> Equity</span></p> <p><input type="checkbox"/> Carbon finance</p> <p><input type="checkbox"/> Other (Please describe here)</p> <p><b>Technological</b></p> <p><i>Please elaborate on detail provided earlier in the check boxes in Section 2, including on the amounts of technological support needed and any costs of this included in the finance section above.</i></p>

## SECTION 7. Achieving and evaluating outcomes

The information provided in this section should help prospective support partners get a clear understanding of the institutional processes (including the responsible host country agencies) that will be in place, or put in place, to ensure that support provided (especially finance) will be put to the purposes intended in a transparent and accountable manner, and that appropriate monitoring and evaluation procedures will be undertaken.

<b>Institutions</b>	
<b>Organisation</b> <i>Plan for monitoring and evaluation</i>	
<b>Measurement</b> <i>Indicators and procedures</i>	
<b>Reporting</b> <i>Methods and frequency</i>	
<b>Verification</b> <i>Quality assurance methods and procedures for monitoring and reporting information</i>	

## Appendix 1. Useful NAMA resources



NAMA Database

<http://www.nama-database.org/>

This wiki contains a database of NAMAs happening around the world. The objective is to share these activities so that countries and other participants are able to learn from these experiences and gain insights into how mitigation activities can be undertaken within the NAMA framework.



UNEP Risoe NAMA Pipeline Analysis and Database

<http://namapipeline.org/>

This contains all submissions to the UNFCCC from developing countries and countries in transition for NAMAs.



**International Partnership  
on Mitigation and MRV**

International Partnership on Mitigation and MRV

<http://www.mitigationpartnership.net/>

The overall aim of the Partnership is to support a practical exchange on mitigation-related activities and MRV between developing and developed countries in order to help close the global ambition gap.

## Appendix 2. Templates developed by the UNFCCC Secretariat for submitting information to the prototype UNFCCC NAMA Registry (as at end November 2012)<sup>10</sup>



### NAMA SEEKING SUPPORT FOR PREPARATION

#### A Overview

##### A.1 Party

##### A.2 Title of Mitigation Action

##### A.3 Description of mitigation action

- A.4 Sector
- |   |   |
|---|---|
| <input type="checkbox"/> Energy supply                        | <input type="checkbox"/> Transport and its Infrastructure |
| <input type="checkbox"/> Residential and Commercial buildings | <input type="checkbox"/> Industry                         |
| <input type="checkbox"/> Agriculture                          | <input type="checkbox"/> Forestry                         |
| <input type="checkbox"/> Waste management                     | <input type="checkbox"/> Other                            |

- A.5 Technology
- |   |   |
|---|---|
| <input type="checkbox"/> Bioenergy                  | <input type="checkbox"/> Cleaner Fuels      |
| <input type="checkbox"/> Energy Efficiency          | <input type="checkbox"/> Geothermal energy  |
| <input type="checkbox"/> Hydropower                 | <input type="checkbox"/> Solar energy       |
| <input type="checkbox"/> Wind energy                | <input type="checkbox"/> Ocean energy       |
| <input type="checkbox"/> Carbon Capture and Storage | <input type="checkbox"/> Low till / No till |
| <input type="checkbox"/> Land fill gas collection   | <input type="checkbox"/> Other:             |

- A.6 Type of action
- National/Sectoral goal
  - Strategy
  - National/Sectoral policy or program
  - Project: Investment in machinery
  - Project: Investment in infrastructure
  - Project: Other
  - Other:

##### A.7 Greenhouse gases covered by the action

- |   |  |
|---|--|
| <input type="checkbox"/> CO <sub>2</sub>  | <input type="checkbox"/> CH <sub>4</sub> |
| <input type="checkbox"/> N <sub>2</sub> O | <input type="checkbox"/> HFCs            |
| <input type="checkbox"/> PFCs             | <input type="checkbox"/> SF <sub>6</sub> |
| <input type="checkbox"/> Other            |  |

<sup>10</sup> The pdf template files downloaded on 26 March 2013 from the UNFCCC NAMA Registry website:  
[http://unfccc.int/cooperation\\_support/nama/items/7476.php](http://unfccc.int/cooperation_support/nama/items/7476.php)

B National Implementing Entity

B.1.0 Name

B.1.1 Address

B.1.2 Contact Person

Alternative Contact Person

B.1.3 Phone

Alternative Phone

B.1.4 Email

Alternative Email

[+ Add Additional entity](#)

C. Expected timeframe for the preparation of the mitigation action

C.1 Number of months for completion

D.1 Used Currency

Conversion to USD <to be filled automatically>

E Cost

E.1.1 Estimated full cost of preparation

Conversion to USD <to be filled automatically>

E.1.2 Comments on full cost of preparation

F Support required to prepare the mitigation action

F.1.1 Amount of financial support

Conversion to USD <to be filled automatically>

F.1.2 Type of required financial support

- |  |   |
|--|---|
| <input type="checkbox"/> Grant             | <input type="checkbox"/> Carbon finance |
| <input type="checkbox"/> Loan (sovereign)  | <input type="checkbox"/> Other          |
| <input type="checkbox"/> Loan (Private)    |   |
| <input type="checkbox"/> Concessional loan |   |
| <input type="checkbox"/> Guarantee         |   |
| <input type="checkbox"/> Equity            |   |

F.1.3 Comments on Financial Support

F.2.1 Amount of Technical support

Conversion to USD <to be filled automatically>

F.2.3 Comments on Technical support

F.3.1 Amount of capacity building support \$ (Dollars)

Conversion to USD <to be filled automatically>

F.3.2 Type of required capacity building support  Individual level  
 Institutional level  
 Systemic level  
 Other

F.3.3 Comments on Capacity Building Support

F.4 Financial support required

F.5 Technological support required

F.6 Capacity building support required

G Relevant National Policies strategies, plans and programmes and/or other mitigation action

G.1 Relevant National Policies

G.2 Links to other mitigation actions

H Attachment

H.1 Attachment description

H.2 File

I Support received

I.1 Outside the Registry

I.2 Within the Registry

Source	Amount	Date

## A Overview

### A.1 Party

### A.2 Title of Mitigation Action

### A.3 Description of mitigation action

- A.4 Sector
- |   |   |
|---|---|
| <input type="checkbox"/> Energy supply                        | <input type="checkbox"/> Transport and its Infrastructure |
| <input type="checkbox"/> Residential and Commercial buildings | <input type="checkbox"/> Industry                         |
| <input type="checkbox"/> Agriculture                          | <input type="checkbox"/> Forestry                         |
| <input type="checkbox"/> Waste management                     | <input type="checkbox"/> Other                            |

- A.5 Technology
- |   |   |
|---|---|
| <input type="checkbox"/> Bioenergy                  | <input type="checkbox"/> Cleaner Fuels      |
| <input type="checkbox"/> Energy Efficiency          | <input type="checkbox"/> Geothermal energy  |
| <input type="checkbox"/> Hydropower                 | <input type="checkbox"/> Solar energy       |
| <input type="checkbox"/> Wind energy                | <input type="checkbox"/> Ocean energy       |
| <input type="checkbox"/> Carbon Capture and Storage | <input type="checkbox"/> Low till / No till |
| <input type="checkbox"/> Land fill gas collection   | <input type="checkbox"/> Other              |

- A.6 Type of action
- National/ Sectoral goal
  - Strategy
  - National/Sectoral policy or program
  - Project: Investment in machinery
  - Project: Investment in infrastructure
  - Project: Other
  - Others:

### A.7 Greenhouse gases covered by the action

- |   |  |
|---|--|
| <input type="checkbox"/> CO <sub>2</sub>  | <input type="checkbox"/> CH <sub>4</sub> |
| <input type="checkbox"/> N <sub>2</sub> O | <input type="checkbox"/> HFCs            |
| <input type="checkbox"/> PFCs             | <input type="checkbox"/> SF <sub>6</sub> |
| <input type="checkbox"/> Other            |  |

## B National Implementing entity

### B.1.0 Name

### B.1.1 Address

### B.1.2 Contact Person

Alternative Contact Person

### B.1.3 Phone

Alternative Phone

### B.1.4 Email

Alternative Email

[+ Add Additional entity](#)

C. Expected timeframe for the implementation of the mitigation action

C.1 Number of years for completion

C.2 Expected start year of implementation

D.1 Used Currency

E Cost

E.1.1 Estimated full cost of preparation

Conversion to USD <to be filled automatically>

E.1.2 Comments on estimated full cost of preparation

E.2.1 Estimated full cost of implementation

Conversion to USD <to be filled automatically>

E.2.2 Comments on estimated full cost of implementation

E.3.1 Estimated incremental cost of implementation

Conversion to USD <to be filled automatically>

E.3.2 Comments on estimated incremental cost of implementation

F Estimated emission reductions

F.1 Amount

F.2 Unit

F.3 Additional information (e.g. if available, information on the methodological approach followed):

G.1 Other indicators of implementation

H.1 Other relevant information including co-benefits for local sustainable development

I Relevant National Policies strategies, plans and programmes and/or other mitigation action

I.1 Relevant National Policies

I.2 Links to other mitigation actions

J Attachments

J.1 Attachment description

J.2 File

Browse



## A. Source of Support

A.1 Support title

A.2 Support description

A.3 Parties

A.4 Government entity providing the resources

*Note: If the support is provided through an intermediary, please leave section A.4 empty*

A.4.1 Address

A.4.2 Contact Person

Alternative Contact Person

A.4.3 Phone

Alternative Phone

A.4.4 Email

Alternative Email

## B.1 Organization channelling the resources

*Note: If the support is provided directly by a government agency, please leave section B empty*

B.1.0 Contact information

B.1.1 Address

B.1.2 Contact Person

Alternative Contact Person

B.1.3 Phone

Alternative Phone

B.1.4 Email

Alternative Email

B.1.5 Type of organisation

## C.1 Used currency

## D. Support available

D.1 Support available for

 Preparation of NAMAs Implementation of NAMAs

- D.1.1 Regional scope
- |                                       |  |
|---------------------------------------|--|
| <input type="checkbox"/> Africa       | <input type="checkbox"/> Latin America and the Caribbean |
| <input type="checkbox"/> Asia         | <input type="checkbox"/> East Europe                     |
| <input type="checkbox"/> Central Asia | <input type="checkbox"/> Middle East and North Africa    |
| <input type="checkbox"/> LDCs         | <input type="checkbox"/> SIDS                            |
| <input type="checkbox"/> Other        |  |

D.1.2 Comments (provide further details on regional scope)

D.1.2 Target country (if any) :

D.2.1 Amount of Financial Support

Conversion to USD <to be filled automatically>

- D.2.2 Type of financial support
- |  |   |
|--|---|
| <input type="checkbox"/> Grant             | <input type="checkbox"/> Carbon finance |
| <input type="checkbox"/> Loan (sovereign)  | <input type="checkbox"/> Other          |
| <input type="checkbox"/> Loan (Private)    |   |
| <input type="checkbox"/> Concessional loan |   |
| <input type="checkbox"/> Guarantee         |   |
| <input type="checkbox"/> Equity            |   |

D.2.3 Comments on financial support

D.3.1 Amount of Technological Support t.00

Conversion to USD <to be filled automatically>

- D.3.2 Type of Technology
- |   |   |
|---|---|
| <input type="checkbox"/> Bioenergy                  | <input type="checkbox"/> Cleaner fuels            |
| <input type="checkbox"/> Energy Efficiency          | <input type="checkbox"/> Geothermal               |
| <input type="checkbox"/> Hydropower                 | <input type="checkbox"/> Solar                    |
| <input type="checkbox"/> Wind                       | <input type="checkbox"/> Ocean Energy             |
| <input type="checkbox"/> Carbon Capture and Storage | <input type="checkbox"/> Energy end use           |
| <input type="checkbox"/> Low till / No till         | <input type="checkbox"/> Land fill gas collection |
| <input type="checkbox"/> Other                      |   |

D.3.3 Comments on Technological Support

D.4.1 Amount of Capacity Building Support \$ (Dollars)

Conversion to USD <to be filled automatically>

- D.4.2 Type of capacity building support
- |  |
|--|
| <input type="checkbox"/> Individual level    |
| <input type="checkbox"/> Institutional level |
| <input type="checkbox"/> Systemic level      |
| <input type="checkbox"/> Other               |

D.4.3 Comments on Capacity Building Support

E. Types of action that may be supported

- E.1 Sector
- Energy supply
  - Residential and Commercial buildings
  - Agriculture
  - Waste management
  - Transport and its Infrastructure
  - Industry
  - Forestry
  - Other

- E.2 Type of action
- National/ Sectoral goal
  - Strategy
  - National/Sectoral policy or program
  - Project: Investment in machinery
  - Project: Investment in infrastructure
  - Project : other
  - Others:

F. Process for the provision of support

F.1 Description

F.2 Link

G Attachment

G.1 Attachment description

G.2 File Browse

H Information on support provided:

H.1 Outside the Registry

H.2 Within the Registry

Source	Amount	Date

## Appendix 3. Template developed by Ecofys for a NAMA proposal (e.g. for entry into the NAMA database available at [www.nama-database.org](http://www.nama-database.org))<sup>11</sup>

1 DESCRIPTION	
<b>1.1 Title</b>	What is the title of the NAMA?
<b>1.2 Country</b>	Please list the country(ies) where this NAMA will be implemented.
<b>1.3 Timeframe</b>	Please specify the timeframe for implementation. (Month/Year - Month/year)
<b>1.4 Sectors</b>	Please specify the sector(s) targeted by the NAMA <input type="checkbox"/> Energy <span style="float: right;"><input type="checkbox"/> Forestry</span> <input type="checkbox"/> Industry <span style="float: right;"><input type="checkbox"/> Agriculture</span> <input type="checkbox"/> Buildings <span style="float: right;"><input type="checkbox"/> Waste</span> <input type="checkbox"/> Transport
<b>1.5 Sub-sector/thematic area</b>	Please list the sub-sector(s) of the NAMA along with the thematic area.
<b>1.6 Brief description</b>	Please describe the NAMA briefly, including the following information: <ul style="list-style-type: none"> <li>▪ Starting situation, context, challenges</li> <li>▪ NAMA goals and planned measures</li> <li>▪ Impacts in terms of emissions reductions whether direct or indirect and social, environmental and economic impacts.</li> </ul>
<b>1.7 Implementing party</b>	Provide a brief description of the main party involved in the implementation of the NAMA.
<b>1.8 Contact details</b>	Please provide the name, email and telephone number of the main contact person for this proposal.

<sup>11</sup> This template should be seen as a guidance document to assist developing countries to formulate NAMA proposals, not as a mandatory template for NAMAs to be included on the database.

## 2 STARTING SITUATION, CONTEXT AND STRATEGIC ASSESSMENT

*This section establishes the rationale for supporting the NAMA by providing context on the business-as-usual situation as well as the domestic and international priorities for greenhouse gas (GHG) emission reductions.*

<b>2.1 National and international climate policy context</b>	Briefly describe the current framework for addressing climate change in the target country (ies). Specify how this relates to international agreements, especially in relation to emission reduction pledges.
<b>2.2 Context of the sector within national emissions priorities.</b>	Please indicate the sector(s) targeted by the NAMA and explain its contribution to the national GHG balance. Include sources and figures when necessary. If the country has a Low Emissions Development plan or strategy, please specify it here.
<b>2.3 Drivers and trends</b>	Please give an indication of future emission trends in the targeted sector(s). Provide an assessment of the main elements that are driving these trends. Include sources and figures when necessary.

### 2.4 Barriers

*Using the table below, provide a brief assessment of the barriers which prevent additional mitigation of GHG emissions in the targeted system. Use the categories defined to outline the barriers and the expected contribution of the NAMA in removing them.*

Barrier categories	Definition	Barriers in targeted system	Expected contribution of NAMAs to remove barriers
Economic/financial barriers	Ratio of investment cost to value of energy savings and/or mitigation potential.	Example: High upfront costs for compact-fluorescent light bulbs (CFL)	Example: NAMA would provide free and subsidized CFLs for low-income households.
Hidden costs	Cost or risks (real or perceived) that are not captured directly in financial flows		
Market failures	Market structures and constraints that prevent a consistent trade-off between specific investment and mitigation benefits		
Behavioural and organizational barriers	Behavioural characteristics of individuals and companies that hinder additional mitigation through technologies and practices		
Information barriers	Lack of information and knowledge on mitigation options/ technologies		
Political and structural barriers	Structural characteristics of the political, economic, system which make abatement action difficult		

### 3 NAMA PROPOSAL

*This section is divided into two parts. The first part provides a description of the project objective and proposed activities. In the second part, an overview is given of the expected impacts of the NAMA and of the financing requested for its development and/or implementation.*

#### 3.1 Overarching objective

Please state the main objective of the NAMA.

#### 3.2 Scope

What are the geographical, technological and social (target-group) boundaries of this project?

##### Geographical

Example: Mexico City, including metropolitan areas

##### Technological

Example: The main technology will be compact fluorescent light bulbs (CFL) with the aim to replace incandescent light bulbs.

##### Social (target-group)

Example: Low income households, as defined officially by the government.

#### 3.3 Activities, outputs and outcomes

*List specific activities to be undertaken as part of the NAMA and describe the expected outputs and outcomes. Outputs occur within the project boundaries, are achieved by the project directly and can be monitored.*

*Outcomes are the consequences of outputs of the project. They describe the effects of the project on its environment, in other words on partners, intermediaries and the target group.*

Activity	Expected outputs	Time frame for completion	Outcomes
<i>Example: Distribute free CFL bulbs.</i>	<i>Example: 100.000 compact fluorescent light bulbs will be distributed to low-income households.</i>	<i>2012-2017</i>	<i>Example: 100.000 low-income households will try CFL light bulbs, helping break through economic and information barriers that prevent wider adoption.</i>
<i>Example: Information campaign on benefits of compact-fluorescent light bulbs.</i>	<i>Example: Reach 500,000 low-income households through community-led education campaigns.</i>	<i>2012-2017</i>	<i>Example: Household decision makers become aware of electricity savings potential and environmental benefits of CFL light bulbs. Willingness to buy a CFL bulb increases by 50 percentage points for target group.</i>

*Add more rows if necessary.*

#### 3.4 Long-term Impact

Drawing on the table above and your assessment of barriers and trends in the previous section, describe the expected long-term and transformational impacts of the NAMA. How would the NAMA contribute towards changing the business-as-usual situation and reducing GHG emissions?

#### 3.5 Benefits (provide detailed calculations in Appendix XY)

<b>3.5.1 Overview of project benefits and target groups</b>	Please provide a brief overview of expected project benefits in terms of GHG emission reductions and co-benefits. How do these benefits align with climate, environmental and economic development priorities in the target country(ies)?																												
<b>2.2.2 Direct emission reductions</b>	<p>Please indicate the best-estimate for cumulative GHG emission reductions (tCO<sub>2</sub>-e) as a direct result of the activities within the NAMA. Detailed calculations, sources and figures should be included in the Appendix Excel sheet. Add rows when necessary.</p> <table border="1" data-bbox="485 398 1174 745"> <thead> <tr> <th>Year</th> <th>Cumulative tCO<sub>2</sub>-e</th> </tr> </thead> <tbody> <tr> <td>Year 1</td> <td></td> </tr> <tr> <td>Year 4</td> <td></td> </tr> <tr> <td>Year 7</td> <td></td> </tr> <tr> <td>Year 10</td> <td></td> </tr> <tr> <td colspan="2"><i>Add more rows if necessary</i></td> </tr> <tr> <td><b>Total sum</b></td> <td><b>SUM</b></td> </tr> </tbody> </table>	Year	Cumulative tCO <sub>2</sub> -e	Year 1		Year 4		Year 7		Year 10		<i>Add more rows if necessary</i>		<b>Total sum</b>	<b>SUM</b>														
Year	Cumulative tCO <sub>2</sub> -e																												
Year 1																													
Year 4																													
Year 7																													
Year 10																													
<i>Add more rows if necessary</i>																													
<b>Total sum</b>	<b>SUM</b>																												
<b>2.2.3 Impacts on mitigative capacity and other indirect emission impacts.</b>	<p>The mitigative capacity of a country relates to its ability to reduce greenhouse gas emissions or maintain natural (carbon) sinks. Particular ways in which this capacity can be increased are (1) developing human resources, (2) developing organisations, (3) cooperation and network-building, and (4) developing policy fields and frameworks for institutions.</p> <p>Please describe how the NAMA would contribute to increasing the mitigative capacity of the target country and sector. Describe the cause-and-effect relationship of how changes in mitigative capacity might lead to (indirect) emissions impacts.</p>																												
<b>3.5.4 Social benefits and target groups</b>	Please provide a qualitative and/ or quantitative estimation of expected social benefits of the proposed NAMA. Indicate the target groups that are expected to benefit from the project. Please indicate in bullet points.																												
<b>3.5.5 Economic benefits and target groups</b>	Please provide a qualitative and/ or quantitative estimation of expected economic benefits of the proposed NAMA. Indicate the target groups that are expected to benefit from the project. Please indicate in bullet points.																												
<b>3.5.6 Environmental benefits</b>	Please provide a qualitative and/ or quantitative estimation of expected environmental benefits of the proposed NAMA. Please indicate in bullet points.																												
<b>3.6 Costs (provide detailed calculations in Appendix XY)</b>																													
Cost breakdown	<p>Using the activities specified in 5.4, please indicate the total cost (in 5.4) and the funds requested. Add rows when necessary.</p> <table border="1" data-bbox="485 1686 1471 2024"> <thead> <tr> <th>Activity</th> <th>Total cost</th> <th>3rd party financing</th> <th>Requested NAMA financing</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td colspan="4"><i>Add more rows if necessary</i></td> </tr> <tr> <td><b>Totals</b></td> <td><b>SUM</b></td> <td><b>SUM</b></td> <td><b>SUM</b></td> </tr> </tbody> </table>	Activity	Total cost	3rd party financing	Requested NAMA financing																	<i>Add more rows if necessary</i>				<b>Totals</b>	<b>SUM</b>	<b>SUM</b>	<b>SUM</b>
Activity	Total cost	3rd party financing	Requested NAMA financing																										
<i>Add more rows if necessary</i>																													
<b>Totals</b>	<b>SUM</b>	<b>SUM</b>	<b>SUM</b>																										

## 4 IMPLEMENTATION PLAN

This section sets out in detail how activities under the NAMA will be implemented and monitored.

### 4.1 Details on implementation

Using the same activities as specified in table 5.4, please provide additional information on how these will be carried out. Describe steps if necessary and provide details on who will implement the activities.

Activity	Details on implementation
Example: Distribute free CFL bulbs.	<p>Example: Free light-bulbs will be distributed to low-income households in the following manner:</p> <ol style="list-style-type: none"> <li>Using 2010 census data, geographical districts within the metropolitan region of Mexico City.</li> <li>Target districts will be verified and reviewed with input from the local housing and social development agencies.</li> <li>Community leaders will be hired from the local population. They will be tasked with forming their own teams of workers to knock on doors in order to distribute CFL bulbs.</li> <li>Performance will be assessed through random sampling of target districts by outside verifier. At least 80% of households should have received a free CFL bulb.</li> </ol>

Include additional rows if necessary

### 4.2 Overall implementation and coordination

Please provide additional details on how all the activities mentioned above will be coordinated. Provide milestones for the NAMA in bullet points.

### 4.3 Monitoring

#### 4.3.1 Key indicators and interim results

Indicators are quantitative or qualitative variables that are subject to change in the course of a project. It is this change which represents the results of the project. Indicators add greater precision to the project goals and serve as a binding standard for measuring the attainment of goals and thus the success of the project. Please state the indicators that shall be used to monitor the project specified by activities as listed in Table 5.4.

Activity	Key Indicators (outputs and outcomes)	Frequency and other details	Responsible entity
Example: Distribute free CFL bulbs.	80% of households in target districts receive a free CFL bulb.	Annual verification through random sampling of 100 households.	Project team using outside verifier.
Example: Information campaign on benefits of compact-fluorescent light bulbs.	Willingness to buy increases from 5% baseline to > 55% in the project period.	Consumer survey of 1000 target households at end of project period.	Project team using outside verifier.

Add more rows if necessary

#### 4.3.2 Reporting

Please provide additional details of how progress and results will be reported. Reporting of emissions reductions and additional benefits should be made public.

#### 4.3.3 Verification

Please provide additional details of how verification will be performed, both internally and externally.



#### 4.4 Risks and risk mitigation measures

On the tables below, please list risks to the project according to the categories described as well as risk mitigation measures. Use bullet points.

Risk Type	Possible risks to project	Risk mitigation measures
(a) Risks that benefits proposed will not be met	<p><i>Example:</i></p> <ul style="list-style-type: none"> <li>▪ <i>Users will be reluctant to try compact fluorescent bulb, even when received for free.</i></li> </ul>	<p><i>Example:</i></p> <ul style="list-style-type: none"> <li>▪ <i>Distribution of free CFLs will be tied to education campaign that emphasizes financial benefits of switching light bulbs.</i></li> </ul>
(b) Risks that cost estimates will not be met		
(c) Other risks: physical, social, political, exchange rate, etc.		
(d) Additional risks related to implementation of the NAMA.		



**SPREP  
PROE**

**SPREP** Secretariat of the Pacific Regional Environment Programme

P.O. Box 240, Apia, Samoa

T: + 685 21929

F: + 685 20231

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

SPREP's VISION: The Pacific environment – sustaining our livelihoods and natural heritage in harmony with our cultures.





**SPREP  
PROE**