On behalf of

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

Department for Business, Energy & Industrial Strategy

Danish Ministry of Energy, Utilities and Climate

European Commission

NAMA Facility

General Information Document

5th Call for NAMA Support Projects

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List of abbreviations

BEIS	UK Department for Business, Energy and Industrial Strategy
BMUB	German Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety
CER	Certified Emission Reductions
DPP	Detailed Preparation Phase
EFKM	Danish Ministry of Energy, Utilities and Climate
FC	Financial Cooperation
GHG	Greenhouse gas
GID	General Information Document
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH
INGO	International Non-governmental Organisation
IP	Implementing Partner
MFA	Danish Ministry of Foreign Affairs
KfW	KfW Development Bank
M&E	Monitoring and Evaluation
NAMA	Nationally Appropriate Mitigation Action
NDC	Nationally Determined Contributions
NF	NAMA Facility
NFGA	NAMA Facility Grant Agent
NGO	Non-governmental Organisation
NSO	Nama Support Organisation
NSP	NAMA Support Project
ODA	Official Development Assistance
TC	Technical Cooperation
ToC	Theory of Change
TSU	Technical Support Unit
UN	United Nations
UNFCCC	United Nations Framework Convention on Climate Change

See Annex 2 for a comprehensive glossary.

1 Introduction

This document provides general information on the NAMA Facility, its objective and functioning (part A) as well as specific information on the selection process of NAMA Support Projects (NSP) for funding under the 5th Call of the NAMA Facility (part B). The purpose of the document is to assist potential Applicants in preparing and submitting NSP Outlines.

The NAMA Facility is a multi-donor programme that supports the implementation of the most ambitious Nationally Appropriate Mitigation Actions (NAMAs) that induce transformational change towards a low-carbon development pathway. For identifying the most ambitious NAMAs, the NAMA Facility conducts open competitive Calls for NAMA Support Projects. In the NAMA Facility's 5th Call for NSPs, national ministries from developing countries and countries with emerging economies as well as other legal entities are invited to submit NSP Outlines for receiving support for their NAMA implementation (for more detailed information and eligibility criteria see sections 5.1 and 5.2).

All details about the NAMA Facility and on the 5th Call specifically are published on the NAMA Facility's website at www.nama-facility.org. The NAMA Facility remains committed to a simple and clear application process, the direct accessibility for Applicants and a fair and transparent competitive Call. The 5th Call application process largely follows the process and procedures from the 4th Call. Some minor changes have been introduced to provide more clarity to potential Applicants and are summarised in Annex 1.

We look forward to receiving your NSP Outlines.

Part A

The NAMA Facility at a glance

2. The NAMA Facility – What is it all about?

The NAMA Facility was jointly established by the German Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (BMUB) and the UK Department for Business, Energy and Industrial Strategy (BEIS) with the objective to **provide financial support to developing countries and emerging economies that show leadership on tackling climate change** and want to implement transformational country-led NAMAs within the global mitigation architecture in the short- and mid-term. The Danish Ministry of Energy, Utilities and Climate (EFKM) and Ministry of Foreign Affairs (MFA) and the European Commission joined the NAMA Facility as Donors in 2015.

The objective of the NAMA Facility is to provide financial support for implementing national climate strategies and Nationally Determined Contributions (NDCs) via NAMAs in relevant sectors thereby realising sustainable transformational change towards a low-carbon pathway. This is done through funding NAMA Support Projects (NSPs) that have the potential to catalyse transformational change towards low-carbon development in the overall sector. With this objective in mind, the Donors of the NAMA Facility decided to hold open competitive Calls for NSP Outlines and select the most ambitious, innovative and promising NSPs for funding. In line with this strategy, the NAMA Facility has no regional or sector focus. The level of ambition is assessed in the individual country-context.

The financial contributions to the NAMA Facility made by the German, British and Danish governments and the European Commission form part of the commitment made by industrialised countries during the United Nations Framework Convention on Climate Change (UNFCCC) climate negotiations in Copenhagen and Cancun to jointly mobilise USD 100 billion per year by 2020 to finance mitigation and adaptation activities in developing countries and countries with emerging economies. By demonstrating an innovative architecture designed to provide directly accessible tailor-made support for the implementation of NDCs via transformational NAMAs, and by feeding the lessons learned into international processes, the NAMA Facility will contribute to the global emissions reduction efforts as well as the international debate on climate finance. In November 2017, the Donors of the NAMA Facility have announced their continued commitment to the objectives of the NAMA Facility launching this 5th Call for NAMA Support Projects and providing additional funding of up to EUR 85 million to the NAMA Facility.

2.1 NAMA as a means to achieve the objectives of NDCs

The concept of **Nationally Appropriate Mitigation Actions (NAMA**) was developed through international negotiations under the UNFCCC. First mentioned at COP13 in 2007, NAMAs are considered to be voluntary climate change mitigation measures by emerging economies and developing countries to be embedded in their national development plans. By moving countries towards a low-carbon development trajectory, NAMAs have the potential to significantly contribute to global efforts to reduce greenhouse gas (GHG) emissions.

NAMAs are seen as concrete building blocks to implement the objectives of **Nationally Determined Contributions (NDCs)** that were adopted through the Paris Agreement at COP21 in December 2015. 43 NDCs specifically mention NAMAs as an implementation modality for the NDC. In that way, the Paris Agreement through the adopted NDCs provides the context for NAMAs to play a major role in actions to combat climate change.

In order to underscore this conceptual linkage between NDCs and NAMAs, the NAMA Facility requires NSP Outlines to refer specifically to the country's NDC context.

2.2 The NAMA Facility's Theory of Transformational Change

When launched in 2012, the NAMA Facility was instrumental in establishing the concept of 'transformational change'. The concept has gained further momentum with the operationalisation of the Green Climate Fund and is equally applied in the Paris Agreement. The NAMA Facility continues its focus on **catalysing transformational change towards sustainable low-emission development,** supporting the Paris Agreement's objective to limit the increase in global average temperature 'to well below 2 °C above pre-industrial levels and to pursue efforts to limit the temperature increase to 1.5 °C above pre-industrial levels'.

The NAMA Facility emphasises how a mix of different types of interventions - in particular regulatory and financial ones – may trigger more climate-friendly behaviour and consumption and production methods in developing countries and emerging economies. The NAMA Facility support enables public and private actors in emerging economies and developing countries to address financial barriers to more climate-friendly behaviour, consumption and the use of low carbon technologies. The portfolio of NSPs demonstrates that across the various sectors, low-carbon technologies can become economically viable. Thus, they encourage and facilitate further investments in broader NAMAs. (See also factsheet on transformational change on the NAMA Facility website: http://www.nama-facility.org/fileadmin/user_upload/publications/factsheets/2014-08_factsheet_nama-facility_potential-for-transformational-change.pdf)

The Theory of Change (ToC) (Figure 1 below) seeks to illustrate the transformational potential by depicting the pathway of changes that shall be initiated through the NAMA Facility support. These desired changes are primarily triggered by the individual NSPs. NSPs shall demonstrate how climate finance will effectively contribute to a transformational change. Given the NAMA Facility's objective of supporting NAMA *implementation*, the focus of NSPs is on financial support mechanisms that serve to mobilise capital investments in and operation of low-emission alternatives. Technical support and institutional and regulatory capacity development in partner countries may be provided during NSP implementation to facilitate this objective.

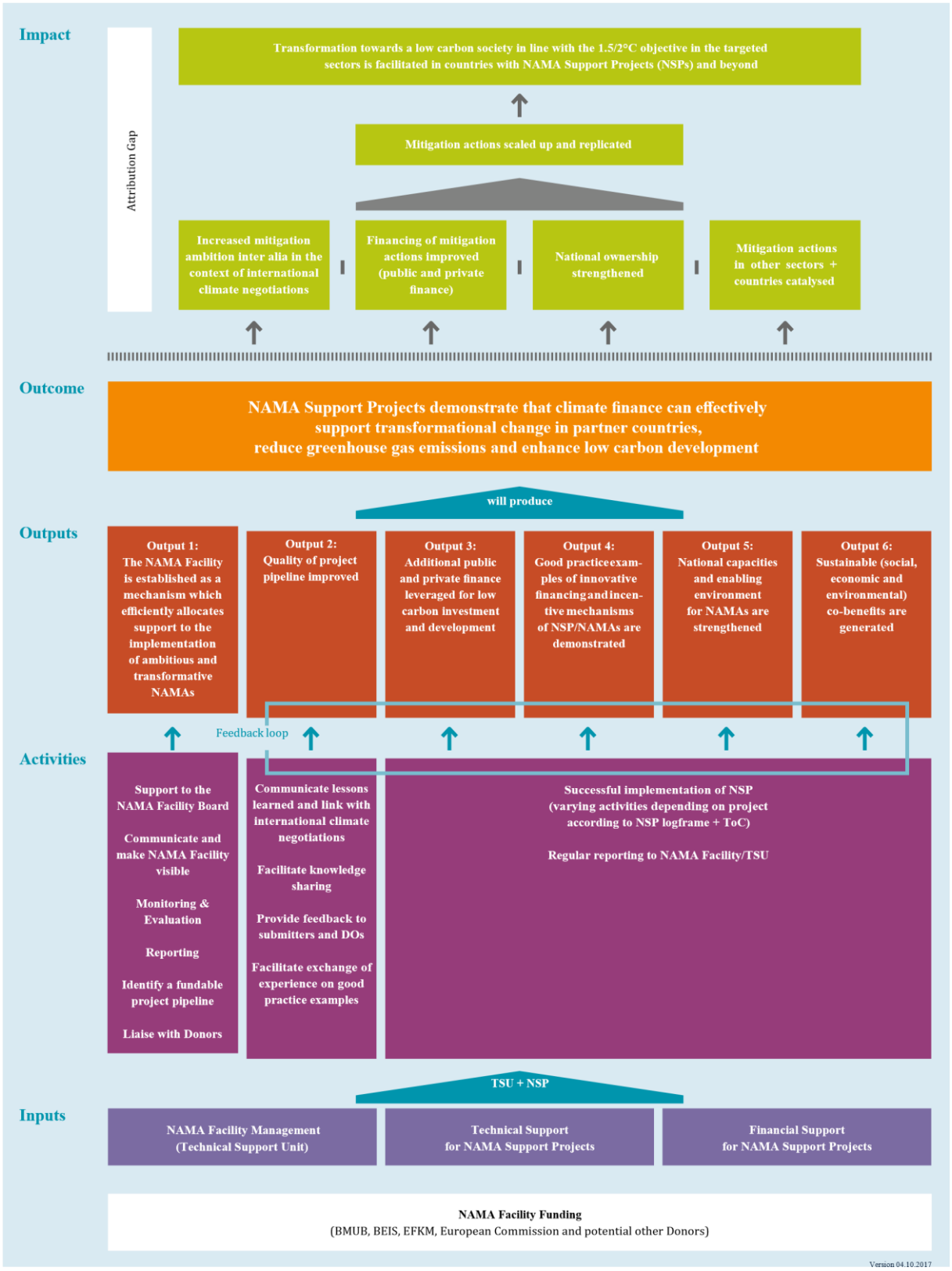

Figure 1: Theory of Change of the NAMA Facility

3 NAMA Facility governance

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

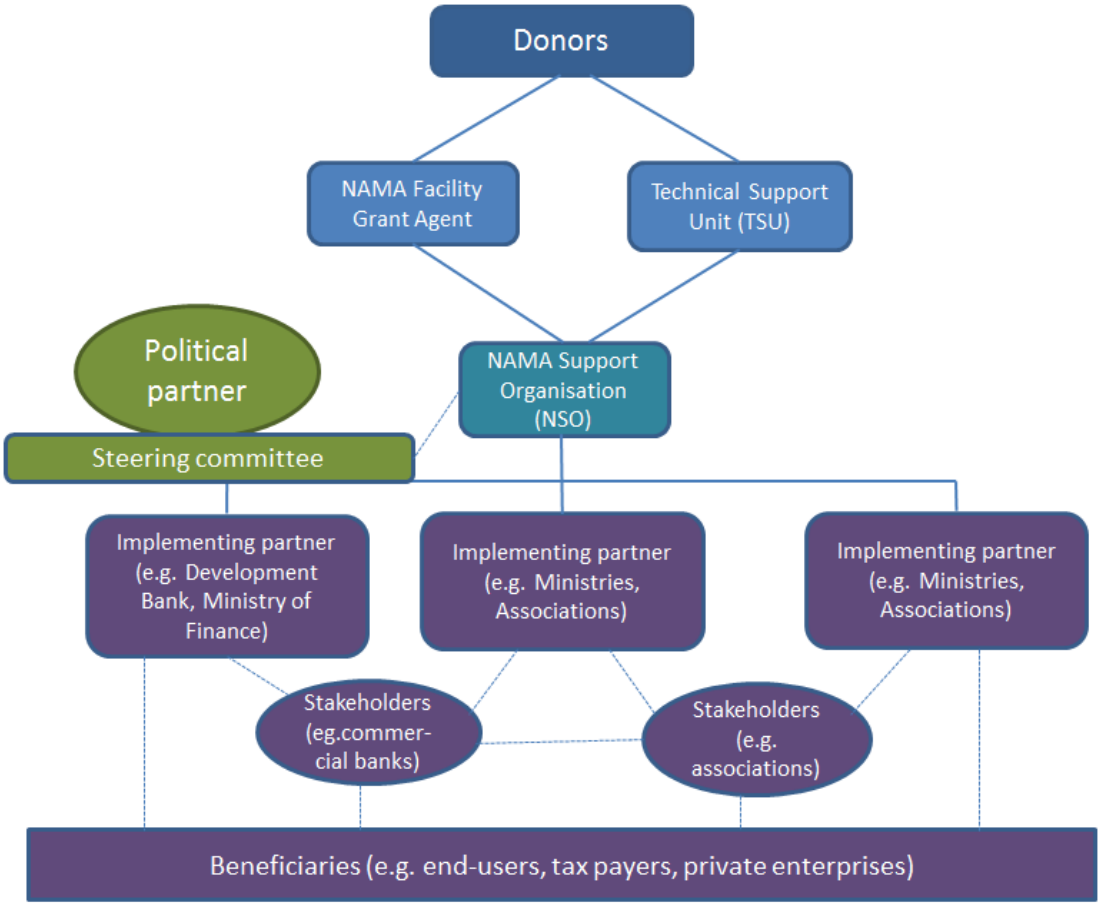

Figure 2: NAMA Facility organisational structure

3.1 The NAMA Facility Board

The central decision-making body of the NAMA Facility is its Board. It comprises representatives from the Donors of the NAMA Facility. The Board takes all decisions on strategy, policies and guidelines and selects the NSPs for funding. Formalised Board decisions are the basis for grant award to Applicants for the NSP Detailed Preparation Phase (DPP) and to NAMA Support Organisations (NSOs) for the NSP implementation.

3.2 Technical Support Unit

The Technical Support Unit (TSU) assists the Board in managing the NAMA Facility. The TSU is the secretariat of the NAMA Facility and the focal point for national governments, implementing partners as well as for NSOs and other stakeholders. The TSU is responsible for:

- organising Calls for NSPs, steering the assessment of NSP Outlines and Proposals;
- monitoring and evaluation of the overall NAMA Facility, reporting to donors;
- communication within the NAMA Facility and with external stakeholders;
- facilitation of lessons learned.

Certain processes such as the evaluation of the NAMA Facility and assessments in the NSP selection process are conducted by independent experts who directly report to the Board to ensure impartiality and avoid potential conflicts of interest.

3.3 NAMA Facility Grant Agent

GIZ has been commissioned as the NAMA Facility Grant Agent (NFGA). As neither the NAMA Facility nor the TSU are separate legal entities, the role of GIZ as NFGA of the NAMA Facility is to manage funds and all procurement and contractual procedures on behalf of the NAMA Facility.

The NFGA will ensure that NAMA Facility funding for the implementation of financing mechanisms is provided to NSPs in a proper manner.

3.4 NAMA Support Organisation

NAMA Support Organisations (NSOs) are qualified legal entities, endorsed by the national government to ensure the *implementation* (as opposed to the Detailed Preparation Phase) of a NSP. As NAMA Facility funding may not be provided directly to partner government institutions such as ministries, the NSOs will be the contractual partners of the NAMA Facility and recipients of funding. The NSOs will be responsible and accountable for the correct use of funds and services, the financial and administrative management of the NSP, for monitoring of the NSP and reporting to the TSU.

Entities eligible as NSOs include the following:

- International: regional or international development banks, United Nations (UN) agencies, bilateral and multilateral development agencies, international non-governmental organisations (INGOs), international foundations, etc.
- National: development banks, development funds, public utilities, public agencies, foundations, national non-governmental organisations (NGOs), etc.

In case an entity only covers part of the required qualifications, e.g. an INGO that has a purely technical assistance background without experience in handling major investment funds, it is recommended to identify a consortium partner to cover the remaining required qualifications. The required competences could also be provided by a national Implementing Partner (IP). The NSO (alone or as consortium) needs to demonstrate that it has all relevant capacities required to implement the NSP including the financial mechanism. In case a consortium is

formed, all partners and their roles must be well-defined and, if applicable, who will be the lead of the consortium and thus the responsible entity to become the contractual partner of the NFGA.
NSOs need to fulfil eligibility criteria as stipulated in 5.2.2.

3.5 Implementing Partners

Implementing Partners (IPs) are the key national partners for the implementation of the NSP. In case of a national organisation applying as a NSO, the implementing partner and NSO might be the same. NSOs must include national IPs with a specific national mandate for implementation, unless the NSO itself has such a mandate. It is recommended that the NSO is formally linked with the IP, e.g. through cooperation agreements, Memoranda of Understanding or other agreements that specify their respective roles and responsibilities.

Examples for typical IPs are:

- national (sector) ministries and other public and/or private entities
- financial institutions, such as a national development bank or the ministry of finance

IPs are expected to be existing entities with the required national mandate and to possess the relevant experience to implement and operate NAMAs.

3.6 Steering committee

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

To ensure political oversight and guidance by the national political partner, it is recommended to establish a steering committee for each NSP. The set-up of this steering committee and its functions shall be defined during the Detailed Preparation Phase of the NSP and laid out in the NSP Proposal.

Part B

The NAMA Support Project cycle and selection process

4 The NAMA Support Project

4.1 Characteristics of NAMA Support Projects

The NAMA Facility aims to fund the implementation of the most promising and ambitious and at the same time feasible NSPs. NSPs should have the following characteristics:

- NSPs should be country-driven and embedded in national development strategies and plans.
- NSPs should integrate into sector-wide programmes or policies with specific reference to a Nationally Determined Contribution (NDC).
- NSPs should consist of a combination of policy and/or regulation reforms, and financial mechanism. Policies should serve to create an enabling environment, whereas regulation and financial mechanisms channel financial flows into low-carbon investments. Regulation and financial mechanisms should serve to address potential barriers for investment and leverage public and private support for mitigation activities.
- NSP funds should be used to leverage additional public and/or private capital investment. A phase-out strategy for NAMA Facility support and phase-in of other sources of financing, including national financing for self-sustained long-term implementation, must be part of the NSP.
- Funds provided by the NAMA Facility need to serve and be spent in line with the public benefit purpose in the context of international cooperation for sustainable development. This needs to be ensured up to the final recipient/beneficiary of the grant funding.

Apart from the above-mentioned characteristics, NSPs must fulfil the following criteria:

- NSP implementation time: between 3-5 years;
- NSP preparation time (DPP): max. 18 months;
- NSP funding and associated investments must qualify as Official Development Assistance (ODA) throughout the implementation period of the NSP.

The total funding volume requested from the NAMA Facility for the implementation of the NSP should be in the range of EUR 5 – 20 million. In exceptional cases, this volume might deviate from the aforementioned range.

4.2 The NAMA Support Project Cycle

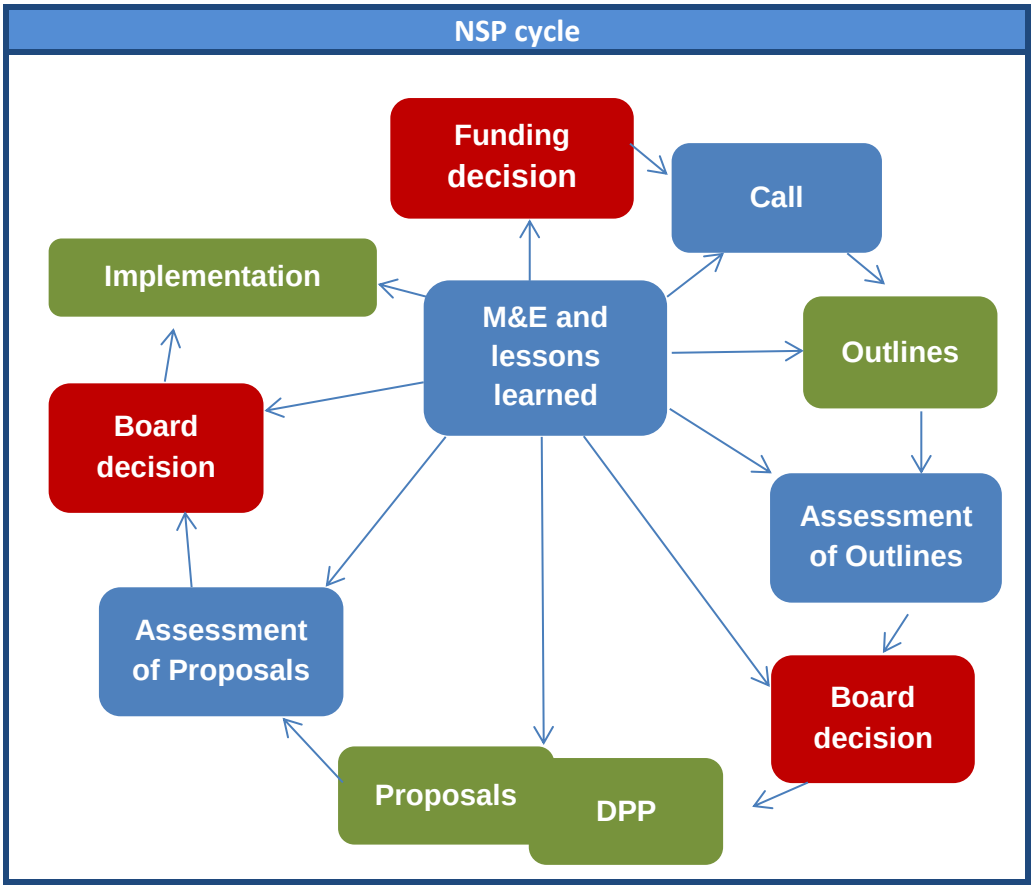

Figure 3: NSP cycle

Legend:

- Applicants/NSOs
- TSU / "NFGA" and/or external evaluators/assessors
- Board

5 NSP selection process

Following the decision by the Board to avail funding for new NSPs, the TSU initiates the selection process for NSPs via a public Call for NSP Outlines. In order to identify the most ambitious and feasible projects, a competitive two-phase selection process applies.

- **Phase 1 (Outline Phase)**: Selection is among the submitted, relatively short NSP Outlines that undergo a thorough desk, and some of them an on-site, assessment by an independent external evaluator. The assessment is cross-checked by the TSU. NSPs that successfully pass the assessment are recommended to the Board for funding of the Detailed Preparation Phase (DPP).

- **Phase 2 (Detailed Preparation Phase, DPP/Proposal Phase)**: During the DPP, support will be provided for more detailed preparation of NSPs. The provision of funding support for the DPP will be linked to the progress achieved with regard to crucial milestones in the DPP. At the end of the DPP, the selection will be based on the full-fledged NSP Proposal, which is the outcome of the DPP. Proposals undergo an in-depth assessment; Proposals successfully passing the assessment are recommended to the Board. According to the assessment result and the available funding, the Board takes a final decision on providing funding for the implementation of the NSP.

There is no automatism for NSPs that passed the Outline Phase and received funding for the DPP to also receive funding for implementation. Funding decisions are contingent on the assessment of the submitted NSP Proposals and the funding available. Proposals that pass the assessment process but cannot be funded immediately due to limited funds can be considered as soon as new funding becomes available. They might also be submitted to other financing facilities.

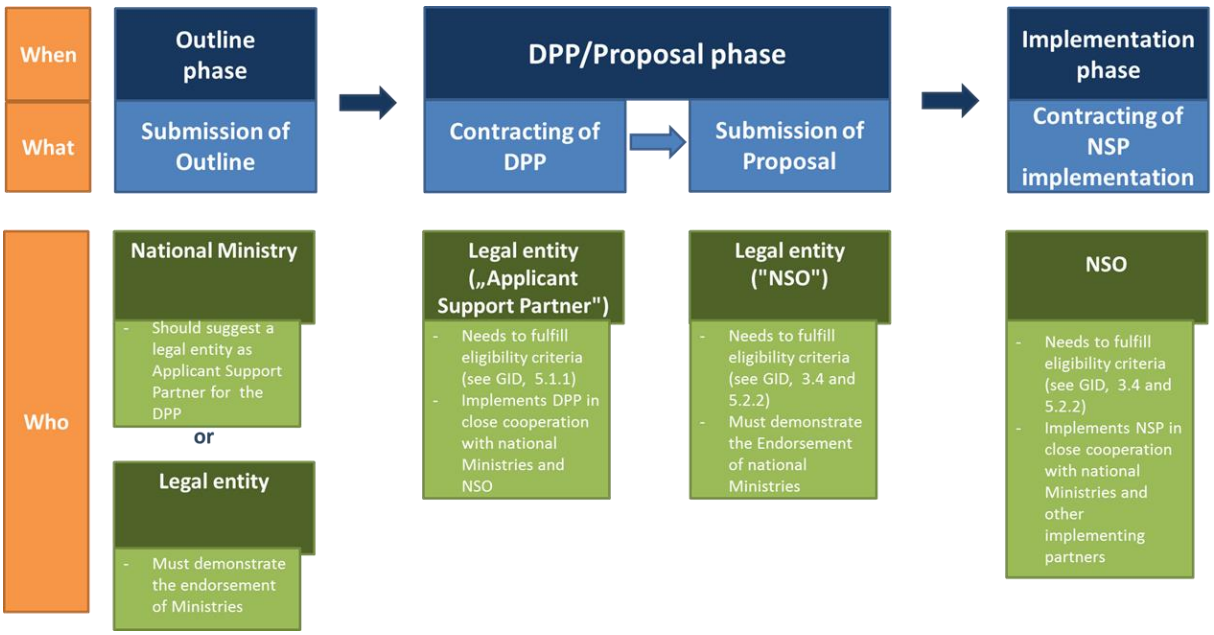

Figure 4: Overview of phases and actors

5.1 The NSP Outline Phase

Once the Call for NSP Outlines is launched, all relevant information and documents are made available on the official website of the NAMA Facility. When submitting NSP Outlines, it is mandatory to use the NSP Outline template for the 5th Call published on the website. **The NSP Outline and annexes must be submitted in English.**

5.1.1 Applicants in the Outline Phase

Outlines can be submitted by

- a **national ministry**, or
- **legal entities** that comply with the following capacity requirements and receive sufficient endorsement by the national government institutions relevant for the implementation of the NSP. Note that these Applicants can, but do not necessarily need to qualify as NSO for the implementation of the NSP.

Applicants (alone or as consortium – see Section 3.4) **other than national ministries** must fulfil the following requirements:

- Experience in the country of implementation (at least 3 years)
- Experience in the respective sector (at least 5 years)
- Experience with project development and / or project management (at least 5 projects of similar size)
- Experience in development of investment/climate finance policies and/or programmes (at least 5 projects)
- Experience in working with the public sector (at least 3 years)
- Average annual turnover at least EUR 1 million over the last 3 years and 10 % of the requested funding volume for implementation
- The Applicant shall provide during the on-site assessment annual budgets and supporting financial statements (preferably audit reports) of the last three years, evidence of internal and external control and reporting structures and, if applicable, information on its procurement and contract award procedures. Qualified Applicants will be contracted by the NFGA for the DPP on the basis of a specific eligibility check (see also annex 3).

In order to ensure the full endorsement of the national government, the NSP Outline should be accompanied by letters of endorsement from the national government (at least from the national ministry of the relevant sector responsible for the NSP implementation and from the ministry responsible for climate change, including UNFCCC climate change negotiations).

If the Applicant is a national ministry, a legal entity should be identified as the Applicant Support Partner for contracting the DPP. The Applicant Support Partner must comply with the above-mentioned criteria. In case the Applicant Support Partner is found non-eligible during the assessment, it might be replaced as part of the assessment and contracting process for the DPP (see also section 5.1.4).

Note that the support granted by the NAMA Facility must promote sustainable development in the partner countries. It may not provide an economic advantage to the Applicants/Applicant Support Partner or any of the implementing partners.

The eligibility criteria for Applicants are not the same for the DPP as they are for the implementation of the NSP. The Outline phase is open to Applicants that do not necessarily need to qualify as NSOs for implementation. However, in each Outline, a qualified NSO (or a list of possible NSOs) for the implementation of the NSP shall be proposed (see 3.4 and 5.2.2). Note that the eligibility of the NSO is not a fixed selection criterion in the Outline Phase of the selection process, but it needs to be confirmed at the latest at an early stage of the DPP.

5.1.2 Submission of NSP Outlines

Outline template: The NSP Outline template and annexes allow for a consistent and comprehensive presentation of the NSP. For this, the template provides guiding questions in each section. The word count is only indicative.

Submission: The submission deadline is published on the NAMA Facility website and strictly applied as a formal eligibility criterion. Outlines submitted late will be rated non-eligible. Complete NSP Outlines with all annexes (all in English) shall be submitted electronically by an eligible and duly authorised Applicant to: contact@nama-facility.org. Confirmation of receipt of NSP Outlines will be provided within two working days.

5.1.3 Outline Assessment Criteria

Ambitious NSPs are defined by their transformation and mitigation potential as well as their potential for leveraging of further public and private finance. NSPs should set out how NAMAs in a certain sector could be implemented, and in principle should be close to implementation on a wider scale. This should include a financial mechanism that would enable a redirection of public and private investment decisions beyond the NSP's lifetime leading to a low carbon development path. NSPs should then be developed further during DPP to be ready for full implementation. The NAMA Facility will provide support to Applicant/Applicant Support Partner for the detailed preparation of NSPs during DPP stage. In order to unfold its full potential, the NSP must realistically address all relevant regulatory and investment barriers. NSPs focussing on test and research activities, for instance technological pilots, are considered as lacking readiness for implementation at a relevant level.

Eligibility criteria

In order to be considered, NSPs must meet a set of eligibility criteria, which serve to ensure that the submitted Outlines fulfil the formal requirements of the competitive bidding for NAMA Facility support. The following criteria apply:

Eligibility criteria
• Timely submission • Completeness of documents (including endorsement letters of ministries) • Documents provided in English • Envisaged implementation duration of 3-5 years • Envisaged DPP duration of max. 18 months • ODA-eligibility of the country throughout the entire NSP implementation period • Qualification of the NAMA Facility funding as ODA finance • Funding volume requested from the NAMA Facility for implementation is in the range of EUR 5-20 million • NAMA Facility funding is not used for the generation of tradeable GHG emission allowances in the compliance market such as CERs or, if generated, allowances should be verifiably cancelled

Ambition criteria

The ambition criteria seek to ensure that the NAMA Facility supports the most ambitious NSPs. NSPs are assessed on the basis of a point-grade system. In total, up to 25 points can be assigned for ambition.

Criterion	
Potential for transformational change (11 points)	The potential for transformational change is crucial for the NAMA Facility. It implies to sustainably redirect the flow of public and private funds towards GHG mitigation actions. The political will and respective decisions towards GHG mitigation translate into laws and regulations as well as to the reallocation of finance and cash flow (e.g. subsidies). Detailed criteria are: • Government commitment / endorsement • Embeddedness in national strategies including co-benefits as drivers for implementation and the linkage to the Nationally Determined Contributions (NDCs) • Catalytic effect and scope (significant change) • Replicability/scalability at national and/or regional level • Sustainability (irreversible change)
Financial ambition (6 points)	The mobilization of public and private funding (i.e. leverage) in terms of national public contribution and private sector funding is seen as key for inducing and taking forward the transformational change towards a low-carbon development pathway. The financial leverage is assessed relative to the sector and the country's context. Detailed criteria are: • Removal of financial/economic market barriers • Significant private sector participation • Significant public budget contribution • Participation of other (possibly development) financiers
Mitigation potential (8 points)	The mitigation potential shows the direct and indirect contribution of a NSP to the 1.5°/2° objective and the country's NDC. It is assessed on relative terms, i.e. relative to the sector and the country. Detailed criteria are: • Plausibility of underlying assumptions, baseline, calculations • Direct mitigation potential • Indirect mitigation potential • Cost-effectiveness

Indicator guidance sheets of the NAMA Facility's M&E Framework provide additional information on definitions and methodologies.
http://www.nama-facility.org/fileadmin/user_upload/publications/documents/2015-11_doc_nama-facility_nsp-guidance.pdf

Feasibility criteria

Feasibility criteria seek to ensure that the NSPs are not only highly ambitious but also likely to be implemented successfully. In total, up to 25 points can be assigned for feasibility.

Criterion	
Project rationale (10 points)	The key criterion for the project rationale is a comprehensive barrier analysis that clearly shows the current sector situation and what impedes transformational change. The NSP is to tackle the barriers and to not only work around them. NSPs should as far as possible use synergies with other projects. Detailed criteria are: • Plausibility of barrier analysis • Plausibility of project rationale • Clear logframe (indicators and risks) • Clear definition of target group • Clear definition of synergies with other projects • Appropriate and clear scope of the NSP • Justification of NSP funds/additionality
Project design (13 points)	The project concept needs to respond to the barrier analysis and show how regulatory measures, financial mechanisms, technology shifts and capacity building work together towards the proposed transformational change. Especially the financing mechanisms of a NSP (based on sound business models for investors / consumers), possibly combined with regulatory initiatives, should kick-start a redirection of investment and cash flows in the sector. Detailed criteria are: • Adequate institutional set-up • High level of readiness • Feasible and appropriate technology(ies) • Plausible business model(s) at investment level • Appropriate financial mechanism and possibly regulation • Clearly defined technical cooperation and assistance measures • Reasonable funding request
DPP concept (2 points)	The concept for the detailed preparation phase (DPP) is to show that the Applicant has a clear understanding of the required detail and readiness of a Proposal and how to prepare for it. The concept should also show a self-reflection on what can be done in-house and where additional expertise (e.g. financial competence) needs to be hired from external sources. Detailed criteria are: • Adequate focus • Comprehensiveness (complete and cohesive) • Adequacy of approach /methodology • Realistic timeline • Appropriateness of requested funding for DPP

Note: While the NSP Outline template has a reduced “light” structure, the NAMA Facility’s expectations on both the readiness and ambition of projects remain high. Please consult the

factsheets on lessons learned and on financial mechanisms published on the NAMA Facility website for more information:
http://www.nama-facility.org/fileadmin/user_upload/publications/factsheets/2016-02_factsheet_nama-facility_lessons-learned-2015.pdf;
http://www.nama-facility.org/fileadmin/user_upload/publications/factsheets/2016-02_factsheet_nama-facility_financial-mechanisms-2016.pdf.
The latter is a point of reference for describing business models for investors/consumers and financial mechanisms designed to address investment barriers. There is no need for detailed calculations and figures in the Outline, but the Applicant needs to show that the economic and financial sides of the NSP have been designed with a high degree of diligence and that sufficient information has been collected in order to assess the viability of the approach. The NAMA Facility provides tools to calculate the GHG-mitigation potential and business model:
http://www.nama-facility.org/publications/tool-for-business-model-and-finance/?L=0;
http://www.nama-facility.org/publications/tool-for-determining-ghg-mitigation-potential-in-nsps/?L=0.

5.1.4 Assessment process

The assessment consists of two distinct stages: A desk assessment followed by an on-site assessment. The result of both combined will inform the funding decision on the DPP.

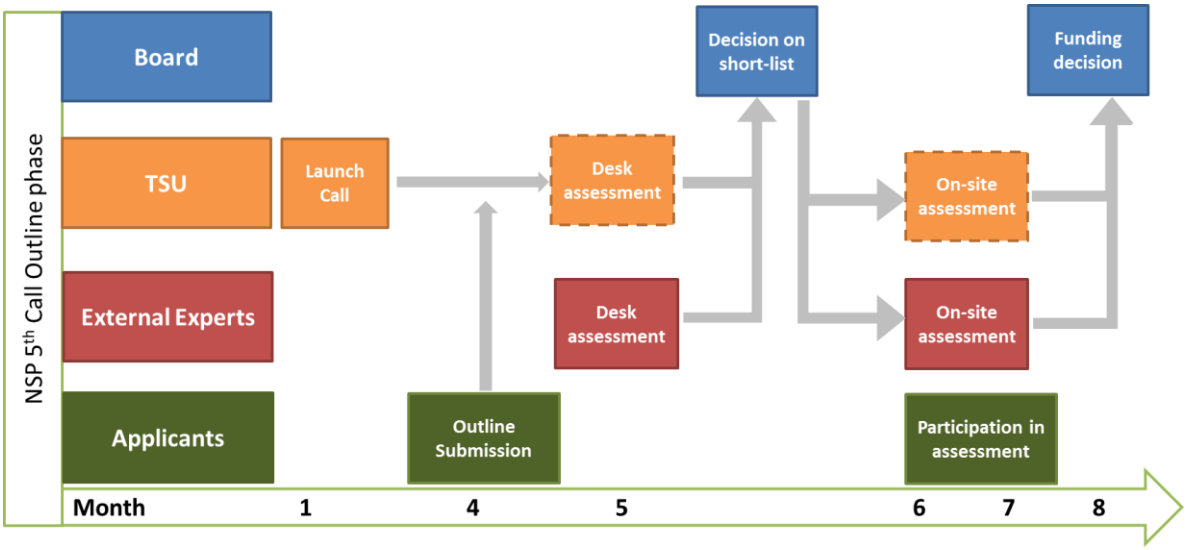

Figure 5: 5th Call Outline phase – actors and activities

In the initial desk assessment, the submitted NSP Outlines will be evaluated against the set of selection criteria. NSPs are first assessed for their general eligibility. Those that pass are assessed against the above mentioned ambition and feasibility criteria. Eligibility is rated on a Yes/No basis; ambition and feasibility on a point system with a maximum of 25 points each. Projects that do not pass a **threshold of 50% (i.e. 25 points)** of ambition and feasibility combined during the initial desk assessment will not be considered for an on-site assessment. The Board will decide which NSPs will be verified on-site. The evaluation criteria described above will apply at both stages of the assessment, but the on-site assessment will focus on specific issues that may have been identified during the initial desk assessment. The eligibility of the Applicant/Applicant Support Partner for contracting the DPP will be verified during the on-site assessment.

The on-site assessment serves to confirm the initial desk assessment, in particular on the following issues:

- National ownership and capacities of political partners and implementing partners
- Verification of the mitigation potential and financial leverage
- Project concept (incl. additionality, barrier analysis, target groups, synergies, etc.)
- Readiness of the NSP for implementation
- Discussion and further detailed elaboration of the concept for the DPP that may also include a revision of the budget and conditions, if deemed necessary

The on-site assessment is expected to take 3-5 days per short-listed NSP Outline and will result in a final recommendation on whether the NSP should be considered for DPP funding. The active participation and support of the Applicant is crucial - the Applicant is requested to support the external assessors in setting up meetings and making contact details and documentation available. An exact timing will be communicated once the Board has decided on the shortlist and the external assessors have been assigned for assessing specific projects.

The assessors may propose conditions and respective measures to be included in the concept for the DPP, e.g. a change or identification of a suitable NSO within a certain timeframe or change of implementing partners, inclusion of external expert advice (e.g. on financing) or in exceptional cases even an adjustment of the chosen implementation approach. Proposed adjustments will be discussed with the Applicant for comments, as the DPP concept shall reflect these comments and possible conditions and a finalised DPP concept will become the basis for the contracting of the DPP.

A modified shortlist of projects and funding recommendations will be submitted to the Board for decision, the final scoring (points) of the Outline having been adjusted according to the on-site findings. Applicants will be notified on the decision and those selected for the DPP will conclude a grant agreement with the NFGA.

The assessment of NSP Outlines is conducted by external assessors who have been recruited on the basis of a public tender. The TSU undertakes an assessment in parallel in order to double check and be thoroughly informed, but the external assessor establishes the ranking of projects and puts forward recommendations to the Board.

5.2 NSP Detailed Preparation Phase / Proposal Phase

The ultimate purpose of the DPP is to prepare a comprehensive Proposal for NSP implementation. For that purpose, the Applicant can engage external experts and consultants to prepare the detailed project concept, conduct the required baseline and feasibility studies for establishing the financial mechanism, verify the mitigation potential and conduct other activities that might be necessary for the detailed project preparation.

During the DPP, a close cooperation with the national implementing partners and political partners is considered crucial to confirm the necessary ownership that is key for unfolding the NSP's transformation potential. The same holds true for cooperation with the foreseen NSO, in case this is an entity different from the Applicant/Applicant Support Partner.

Identification and specific eligibility check of the NSO

In case the Applicant/Applicant Support Partner for the DPP and the intended NSO for the implementation phase of the NSP are different entities, the NSO needs to be identified and confirmed by the latest 3 months after the start of the DPP. General eligibility criteria for the NSO are provided in section 5.2.2.

A confirmation of the NSO at the beginning of the DPP is important in order to enable the NSO's active participation in the DPP and the formulation of the Proposal that is to be submitted by the NSO. The NSO has to undergo a specific eligibility check by the NFGA, following its respective guidelines that encompass administrative and financial procedures and capacities as well as the general capability of the NSO to implement the proposed NSP (see also annex 3). If the specific eligibility check of the NSO has a negative outcome, the government will be assisted in identifying an alternative NSO.

External expert pool

A NAMA Facility pool of external experts with specific expertise e.g. on financial mechanisms and project design can be drawn on by Applicants for external advice. The expert pool is centrally tendered and contracted by the TSU of the NAMA Facility. Upon request by the Applicant/Applicant Support Partner, these experts can be assigned for specific advisory services on behalf of the Applicant/Applicant Support Partner; related costs are deducted from the DPP budget.

Duration of the DPP

The DPP has a total duration of 6 to 18 months from signing the grant agreement for the DPP to the submission of the Proposal. The provision of funding support for the DPP will be linked to the demonstration of satisfactory progress achieved with regard to crucial milestones in the DPP.

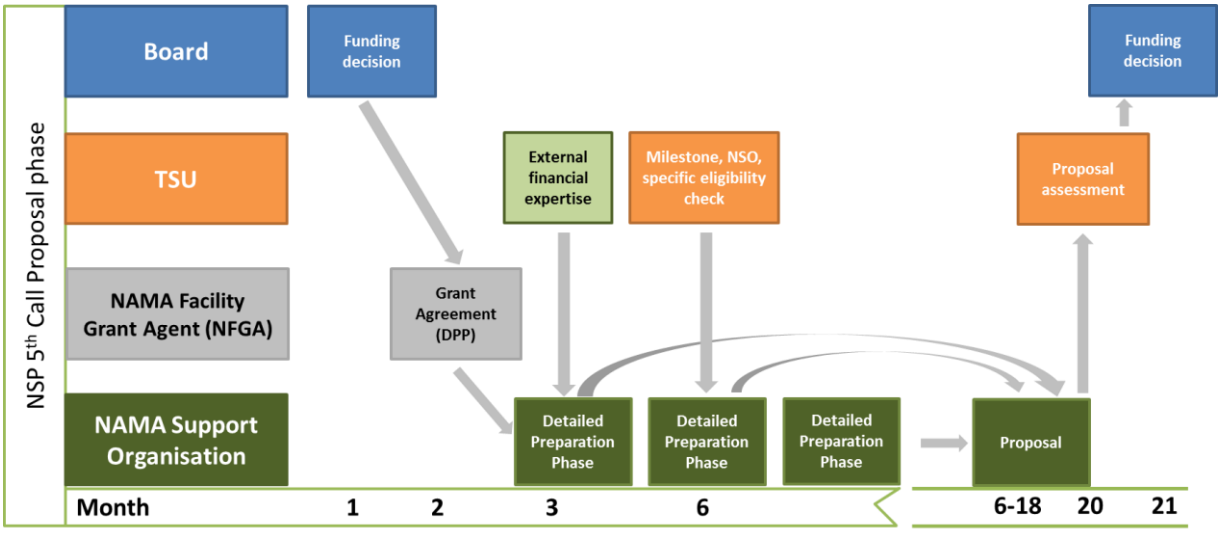

Figure 6: 5th Call DPP/Proposal Phase – actors and activities

5.2.1 Submission of Proposals

Proposal template: the template will be made available to the Applicant at the beginning of the DPP. The Proposal has to cover among others a full-fledged analysis of the underlying business model and the proposed financial support mechanisms, the expected direct emission reductions and the mitigation potential, the institutional set up (including a steering committee and implementing partners with their respective roles and responsibilities) and the assessment and definition of safeguards for environmental, social issues and human rights and gender considerations.

Submission: The complete Proposal needs to be submitted no later than 18 months after the conclusion of the DPP grant agreement. However, an earlier submission is encouraged. The specific interim deadlines for milestones and the final deadline for submission (latest after 18 months) will be part of the individual grant agreement for the DPP.

The complete and signed Proposal is to be **submitted electronically** to the following address **before the deadline**: contact@nama-facility.org.

Hard copies of the complete and signed Proposal need to be submitted upon request by the TSU within two weeks to:

NAMA Facility
Technical Support Unit
Köthener Str. 2-3
10963 Berlin
Germany

5.2.2 Applicants in the Proposal Phase/NSOs

Proposals can only be submitted by the designated NSO. Eligibility criteria for the NSOs for the implementation are different, and more demanding, than for the Applicants submitting an Outline. The NAMA Facility does not require NSOs to go through an accreditation process. In general, international as well as national organisations (legal entities) may qualify as NSO as long as they are no private for-profit organisations, have been endorsed by the national government for their role as NSO and fulfil the following criteria (for specific eligibility criteria see Annex 3):

- Proven work experience in the country of implementation (> 3 years)
- Proven work experience in the respective sector (> 5 years)
- Proven experience with project implementation in the lead (> 5 projects with a similar funding volume as requested)
- Proven experience in investment/climate finance (> 5 projects)
- Proven experience with the implementation of ODA projects (> € 5 Mio)
- Proven experience in working with the public sector (>3 years)
- For entities other than financial institutions, average of annual turnover over the last 3 years > requested NSP volume

The NSO is expected to align with the processes and requirements put in place by the NAMA Facility for monitoring and evaluation, reporting, and communication. During the DPP, the NFGA will undertake a specific eligibility check of the NSO (see also 5.2).

5.2.3 Assessment criteria

Only Proposals that are complete and fulfil all formal requirements will be accepted for assessment. The submitted Proposals will be assessed against a list of criteria that are similar to the criteria used in the Outline assessment. However, the feasibility assessment is emphasised at this stage. On a 50-points scale Proposals will be rated as follows:

- 15 points : Ambition
- 35 points : Feasibility

NSPs will be expected to pass a threshold in order to be considered for funding from the NAMA Facility. Proposals that pass the assessment process but cannot be funded immediately due to limited funds can be considered as soon as new funding becomes available. They might also be submitted to other financing facilities.

Written endorsement by the national government must be annexed to the Proposal confirming that the relevant national sector ministry and the ministry responsible for climate change (including the UNFCCC climate change negotiations) supports the detailed NSP concept and implementation plan and that they endorse the NSP.

Ambition criteria

The assessment of the Proposals follows the same criteria with the same rationale as applied for the Outline assessment, although a higher level of refinement, particularly with respect to the mitigation potential and a well-designed financing mechanism based on solid background data is expected for the Proposal. Substantiated assumptions and calculations of the mitigation potential must be presented; the financial contribution of the national public budget needs a higher level of commitment (secureness), etc. The assessment criteria for ambition are as follows:

Criterion	
Potential for transformational change	• Government commitment / endorsement • Embedding in national strategies/sustainable development co-benefits • Catalytic effect and scope (significant change) • Replicability/Scalability • Sustainability (irreversible change)
Financial ambition	• Removal of financial/economic market barriers • Significant private sector participation • Significant public budget contribution • Participation of other (possibly development) financiers
Mitigation potential	• Plausibility of underlying assumptions, baseline, calculations • Direct mitigation potential • Indirect mitigation potential • Cost-effectiveness

Feasibility criteria

Proposals will be assessed more strictly with regard to the feasibility criteria than the Outlines. They are to be substantiated by baseline and feasibility studies. The readiness of the financial mechanism and its underlying assumptions and calculations are of particular importance for the assessment of the feasibility, as the implementation of the financial mechanism is to start within the first year of NSP implementation. Furthermore, a plausible and clear institutional set-up of the NSP is expected, meaning that the key implementing partners and their respective roles and responsibilities as well as an appropriate political steering structure (e.g. steering committee) are clearly defined and involved.

The feasibility criteria are as follows:

Criterion	
Project rationale	• Plausibility of barrier analysis • Plausibility of project rationale • Quality of Logframe (including NF core indicators) • Risk analysis (incl. environmental and social impact assessment, human rights and gender issues) • Target group (incl. gender) • Synergies with other projects • Appropriate scope of the NSP • Justification/additionality of NSP funds
Institutional set-up	• Capacity and legitimacy of implementing partners • Distribution of roles and responsibilities • Steering committee • Other stakeholders (roles and responsibilities)
Project concept	• Readiness • Feasible and appropriate technology • Plausible business model(s) • Comprehensive and sustainable financing mechanism • Clearly defined technical assistance measures • Appropriate implementation timeline, incl. milestones • M&E concept
Project budget	• Reasonable funding request • Consistent and adequate budget • Co-funding (secured)

5.2.4 Assessment and funding decision process of Proposals

Proposals undergo an in-depth assessment. During the assessment, the NSO may be contacted for the clarification by the TSU or external assessors on behalf of the TSU. Proposals successfully passing the assessment are recommended to the Board. According to the assessment result and the available funding, the Board takes a final funding decision. The NSO and the political partners are informed in due time on the decision of the Board. NSPs that are selected for funding will undergo the next steps to conclude a grant agreement with the NFGA on the NSP implementation.

6 NSP implementation

Following the final approval of a NSP by the Board, the NFGA will enter into a grant agreement with the qualified NSO. All the rules and procedures, which have been defined in the underlying contractual arrangements between the Donors and the NFGA and which are relevant for the implementation of the NSP, shall be reflected in the grant agreement.

The NSO is fully responsible for implementing the NSP according to the Proposal and any conditions stipulated in the grant agreement.

As the NAMA Facility understands itself as a learning hub for NAMA implementation, NSOs and implementing partners are expected to share their experience with the broader, international community. This requires the NSP to allocate sufficient capacities to communication and knowledge management. The TSU may contact the NSO or implementing partners for specific inputs and events.

6.1 Monitoring and evaluation

Monitoring and evaluation (M&E) is an important part of the NAMA Facility. Monitoring is carried out by the TSU for the overall NAMA Facility and by the NSO for the individual NSP. It is based on the M&E Framework of the NAMA Facility, which provides guidance on monitoring and reporting requirements. In addition to indicators measuring the progress of the NSP on the output and outcome level, attention must be paid to the monitoring of mandatory core indicators and additional sector-specific indicators.
(http://www.nama-facility.org/fileadmin/user_upload/publications/documents/2015-11_doc_nama-facility_nsp-guidance.pdf)

Mandatory core indicators, which all NSPs have to monitor and report on, and for which projections and results are aggregated at NAMA Facility level, are:

- Greenhouse gas emissions directly reduced by the NSP intervention (M1)
- Number of people directly benefitting from the NSP (M2)
- Potential for transformational change (M3)
- Volume of public finance mobilised for low-carbon investment and development (M4)
- Volume of private finance mobilised for low-carbon investment and development (M5)

The M&E Framework of the NAMA Facility has been developed in a consultative process by the TSU and Donors of the NAMA Facility. NSOs are requested to provide a **detailed M&E plan** with validated indicators within **the first year** of implementation. The information provided in the annual NSP reports, in particular on the status of the mandatory core indicators are aggregated at the level of the NAMA Facility, and feed into the NAMA Facility monitoring and reporting to the Board.

In addition to regular monitoring, NSPs are subject to **evaluations** that are commissioned by the TSU and financed by up to 1% of the NSP budget. All NSPs have to undergo a final evaluation at the end of their implementation period and those with an implementation period of more than three years are obliged to perform a mid-term evaluation.

6.2 Reporting

For reporting on progress, NSOs are required to regularly submit reports to the NAMA Facility following a template provided by the TSU. These reports are:

- **Semi-annual** reports on project progress and financial statement

- **Annual** reports on the status and progress of the project, including an updated implementation schedule, on performance according to indicators, risk assessment, deviations from the original planning, and financial status of the project

- **Final** report: A final report has to be submitted within six months after the termination of the NSP. In addition to the reporting requirements of the annual report, the final project report will assess the overall performance and achievements of the project in terms of outcomes and outputs, and will discuss the impacts and lessons learned for broader application. The TSU will assess the progress of the NSP on the basis of the logframe, the M&E plan and the reports provided by the project.

6.3 Communication and Knowledge Management

Both the TSU and the NSOs are responsible for knowledge management, communication and public relations. This includes a pro-active approach to learning with regular reflections of lessons learned and sharing them with the stakeholders of the NAMA Facility. It also includes the full range of communication measures such as publications, presentations, participation in events and communication with the wider NAMA/NDC community. NSOs are thus requested to allocate sufficient resources for communication and knowledge management in their implementation plan. NSOs might be contacted by the TSU for:

- contributions to presentations by delivering content, pictures or other – sometimes at a short notice;
- representing the NSP as part of the NAMA Facility at a national or regional event with a jointly elaborated presentation;
- updates on the progress of implementation.

In order to harmonise the presentation and corporate identity of the NAMA Facility, the TSU provides a set of logos and visibility guidance that are shared with the NSOs at the beginning of the implementation phase and are mandatory for use.

Annex 1

Summary of changes
compared to the previous General Information Document (for the 4th Call)

The General Information Document (GID) has undergone a slight revision in anticipation of the 5th Call. These revisions have sought to further clarify the NSP application and selection process, thereby increasing the accessibility of NAMA Facility funding. The following changes have been introduced since the 4th Call:

- The **eligible range of funding volume** that can be requested from the NAMA Facility for NSP implementation (i.e. EUR 5-20 million) is now a guiding eligibility criterion. In exceptional cases, the requested volume may deviate from the original range, but this deviation should be clearly explained in the Outline. With this softening of the eligibility criterion, the NAMA Facility seeks to provide an even stronger tailor-made funding offer for countries, recognizing that in certain cases, countries might need less or slightly more support than the original range for the implementation of their NAMA.
- The provision of **funding support for the DPP** is now incrementally linked to the satisfactory achievement of crucial DPP milestones. This is to signal that the NAMA Facility expects a high level of readiness for and the delivery of results during the DPP to ensure the most efficient use of resources.
- The **new term "Applicant Support Partner"** has been introduced and **replaces the term "Co-applicant"**. The previous term had caused some misunderstanding during the Outline submission process. The role and function of the Applicant Support Partner remains the same as before: If a national ministry submits the NSP Outline, a legal entity complying with the capacity criteria as stipulated in 5.1.1 of the GID should be identified as the Applicant Support Partner for the contracting of the DPP.
- During the evaluation of the Outline Assessment Criteria for proposed NSPs, weighted grading will be shifted away from the DPP concept proposal (Annex 4 of the Outline) and instead focused more heavily on the ambition and feasibility criteria.
- The role of **communication and knowledge management is further strengthened**, as NSPs are expected to take a proactive approach to learning and are now explicitly requested to allocate sufficient resources and capacities to such activities.

Glossary

Applicants: In the initial Outline Phase, national ministries or legal entities may function as Applicants, i.e. submit a NSP Outline to the NAMA Facility. Legal entities must comply with capacity requirements as stipulated in 5.1.1 of the General Information Document (GID) and receive sufficient endorsement by the national government institutions relevant for the implementation of the NSP. In case that the Outline is submitted by a national ministry, a legal entity should be identified as Applicant Support Partner. The legal entity (as Applicant/Applicant Support Partner) will then function as contracting partner for the Detailed Preparation Phase (DPP). In the Proposal Phase, the designated NAMA Support Organisation (NSO) functions as the Applicant. The NSO and the NSP Proposal need to have been endorsed by the national government.

Applicant Support Partner: If a national ministry submits the NSP Outline, a legal entity complying with the capacity criteria as stipulated in 5.1.1 of the General Information Document (GID) should be identified as Applicant Support Partner for the contracting of the Detailed Preparation Phase (DPP).

Beneficiaries: People in the country (and area), where the NSP is implemented that directly benefit from the NSP by using the services and goods that are provided by the NSP ("end-users"). This could be economic benefits, improvements in quality of life or improved capacities.

Business model: A key indicator for transformational change in a sector is the redirection of the flow of funds. In order to achieve this, consumer and/or investor decisions must be influenced towards a low-carbon pathway. The underlying assumption is that consumers/investors will change their commercial/financial decisions if it is economically beneficial for them and if it follows a potentially successful business model. The concept of the NAMA Support Project needs to offer a (potentially) successful "business model" for consumers/investors including adequate financing mechanisms.

Financial ambition: One of the ambition criteria of the NAMA Facility. The financial ambition of a NAMA Support Project is assessed as its ability to leverage additional private and/or public funds for the implementation of the NAMA and/or for financing low-carbon investments related to the NAMA. The financial potential is also reflected in two of the mandatory core indicators of the NAMA Facility.

Financial mechanism: An adequate financing mechanism is at the core of a NAMA Support Project. The financing mechanism needs to be defined in a way to incentivise a behavioural change of market participants (consumers, investors) towards a low carbon pathway. At the same time it should ensure the most efficient use of NAMA Facility grants as it leverages public and/or private funds. The financial mechanism possibly in combination with regulatory changes must ensure the sustainable reduction or removal of market barriers. In most cases, this requires a viable phase-out concept for NAMA Facility support and a phase-in concept for other sources of finance preferably from private funding sources.

Gantt chart: A visual illustration of the project time schedule. It displays the outcome, the timeframe of outputs and milestones and related activities along the timeline of the NAMA Support Project.

General Information Document (GID): Provides general information on the NAMA Facility, its objectives and functioning as well as specific information on the selection process of NAMA Support Projects for funding under the NAMA Facility. The purpose of the document is to assist

national governments of partner countries and other potential Applicants in preparing NAMA Support Project Outlines for submission to the NAMA Facility.

Impacts (long-term results): Long-term direct and indirect effects of the NAMA Support Project that reflect the ambition criteria: potential for transformational change including sustainable development co-benefits, financial ambition and mitigation ambition.

Implementation: The implementation of a NAMA Support Project refers to the stage when the project concept, measures and activities are sufficiently developed and prepared to get started on the ground.

Implementing Partners (IPs): 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.

Indicators: Quantitative or qualitative indicators provide evidence on the achievement of results. 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 NAMA Support Project. The NAMA Facility M&E framework defines three types of indicators: core mandatory indicators, sector-specific outcome indicators and project-specific output indicators. All indicators have to be SMART (specific, measurable, achievable, realistic and time-bound). Please refer to the NAMA Facility M&E framework for further information.

Logframe: The logframe is a results matrix drawn from the results model or theory of change. The logframe shows the linear causal relationship between the impact, the outcome(s) and related outputs and activities of the NAMA Support Project. Indicators are quantitative and qualitative variables to measure changes and results, and sources of verification are needed to substantiate these elements. Central assumptions and risks for achieving the defined targets also have to be described in the logframe as it is the basis for the NSP's M&E concept.

Mitigation ambition / potential: This is one of the ambition criteria of the NAMA Facility and describes the direct and indirect greenhouse gas emission (GHG) reductions caused by the NAMA Support Project. The mitigation potential is also reflected in one of the mandatory core indicators of the NAMA Facility.

NAMA Facility: Jointly established by the German Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (BMUB) and the UK Department for Business, Energy and Industrial Strategy (BEIS) and co-funded by the Danish government and the EU Commission. It provides financial support to developing countries and emerging economies that show leadership on tackling climate change and that want to implement transformational country-led NAMAs within the global mitigation architecture.

NAMA Facility Board (Board): The central decision-making body of the NAMA Facility. Currently the Board comprises representatives from four Donors, i.e. German BMUB, UK BEIS, Danish Ministry of Energy, Utilities and Climate (EFKM) and Ministry of Foreign Affairs (MFA) and European Commission (EU COM). The Board takes all relevant decisions related to strategy, policies, guidelines and budget, and selects the NAMA Support Projects for funding.

NAMA Facility Grant Agent (NFGA): As NFGA of the NAMA Facility GIZ is commissioned to administer the NAMA Facility. This comprises financial and contractual management as well as due diligence of NAMA Support Organisations.

NAMA Support Organisations (NSOs): NSOs are responsible and accountable for the proper delivery of funds and/or services, the financial and administrative management of the NAMA Support Project, reporting to the TSU and Donors and for monitoring. The architecture of the NAMA Facility does not allow for a direct transfer of funds to the implementing (government) institution in the partner country. Eligible NSOs can submit Outlines and Proposals for NAMA Support Projects to the NAMA Facility.

NAMA Support Projects (NSPs): Projects funded by the NAMA Facility that will provide support to governments for the implementation of the most ambitious parts of their NAMAs through the provision of financial support and technical cooperation instruments.

Outcome: The overarching direct project goal and direct effects that can be causally attributed to the NAMA Support Project interventions and reflects the utilisation of the outputs by the target group.

Output: Products, goods, services and regulations/ standards that have arisen as a result of the NAMA Support Project activities.

Readiness: Readiness refers to the degree of maturity or development of a NAMA Support Project. Activities to prepare a project are generally referred to as readiness activities. In the sense of the NAMA Facility, a NAMA Support Project is considered to be ready, when it is able to move to the implementation stage of the activity right away, after a limited detailed preparation e.g. of the envisaged financial mechanisms. The NAMA Facility provides support for the implementation of NAMAs.

Stakeholders: People or organisations that actively participate in the project or are directly affected by the NSP in a positive or negative way. They could be actively involved in the NSP as intermediary organisations in the implementation (e.g. micro finance institutions or associations) or passively associated rather as a recipient (benefitting from capacity building or being targeted for harm reduction purposes). Stakeholders are different from the targeted beneficiaries of an NSP.

Sustainable development co-benefits: Contributions to sustainable socio-economic, ecological and institutional development associated with a NSPs and which go beyond the reduction of GHG emissions. Co-benefits are mostly reflected in the respective sector policy and can be obtained at a regional or local level (e.g. increase in income, social security, reduction of airborne pollutants). Sustainable development co-benefits are considered a key element to create country ownership and a driver for transformational change and thus can have an important impact on the long-term sustainability of a NAMA Support Project.

Technical Support Unit (TSU): Assists the Board in managing the NAMA Facility. The TSU is the secretariat of the NAMA Facility and the focal point for national governments, NSOs and other stakeholders. The TSU is responsible for organising Calls for NSP Outlines, assessing NSP Outlines and Proposals and Monitoring and Evaluation of the NAMA Facility during implementation. It also has responsibility for the financial management of the NAMA Facility.

Transformational change potential: Change is considered transformational if it is significant, abrupt (quicker than the business-as-usual) and permanent/irreversible in bringing the country on a low-carbon development trajectory in line with the 2-degree-objective. Projects can support the transformational change by enabling a significant evolution in terms of scope (e.g. scaling-up or replication), a faster change or a significant shift from one state to another. They do so by influencing policies, regulation, and enforcement and by providing adequate financing mechanisms that manage to incentivise consumer/investor decisions in order to sustainably redirect the flow of funds in the sector towards the low-carbon pathway.

Annex 3

Indicative list of specific eligibility criteria for Applicants and NAMA Support Organisations (NSO)

Applicants and NAMA Support Organisations will be assessed on an individual basis in the project-specific context to determine their capability and suitability as a contracting partner of the NAMA Facility.

Applicants and NAMA Support Organisations have to

1) be or represent a legal entity
   A case-by-case review is conducted for organisations which are not public entities (associations, foundations, etc.) regarding the corporate form, registration, registered office.
2) demonstrate appropriate organizational structure and procedures.
3) have an appropriate accounting system with qualified personnel in place. It is expected that annual budget and proper annual financial statements, annual sales and implemented budgets for the past three years will be made available.
4) have appropriate contract award procedures, which meet national legislation and international standards.
5) have appropriate internal and external control.
6) Demonstrate an appropriate track record in the handling of (ODA) financing, including from (other) donors.

NAMA Support Organisations are subject to an enhanced due diligence that includes but is not limited to a verification of the risk management, financial analysis, adherence to environmental, social and governance standards.

Applicants and NAMA Support Organisations must not be subject to any of the following aspects:

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