



ANNUAL REPORT 2021

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Executive Summary

The NAMA Facility finances innovative, mitigation-focused NAMA Support Projects (NSPs) that tackle climate change and have the potential to scale up and seize the opportunity to build resilient and sustainable economies. As such, the NAMA Facility continues to catalyse transformational change towards sustainable, carbon-neutral development. This report provides an overview of activities, new developments and learnings from 2021, based on the data-driven approach of the recently revised Monitoring & Evaluation Framework. From the perspective of the growing and maturing portfolio of NSPs, it covers the entire project cycle of NSPs, from the support for project development, assessment and selection of NSPs, all the way to implementation and finally, evaluation and learning. Alongside these themes, the report incorporates results from 2021 Calls for Projects, progress of individual NSPs, and highlighted lessons learnt.

A closer look into the events that occurred at the NAMA Facility throughout the past year shows that it was a distinctive year. For the first time in the NAMA Facility's history, two Calls (7th Call and the Ambition Initiative Call) ran in parallel and a third, the Ambition Initiative – Round Two, was announced at the 26th Conference of Parties (COP26), held in Glasgow in November 2021. At this occasion, the NAMA Facility Board announced the selection of four NSPs from the Ambition Initiative to enter the Detailed Preparation Phase (DPP) and announced the Ambition Initiative – Round Two, with a funding volume of EUR 100 million and sharing the key features of the original Ambition Initiative Call. In 2021, the NAMA Facility also welcomed the Children's Investment Fund Foundation (CIFF) as its fifth Donor, alongside Germany, the United Kingdom, Denmark, and the European Union to fund the Ambition Initiative.

7th Call

The in-depth assessments (IDAs) of the NSP Outlines for the 7th Call and the Ambition Initiative Call took both place in 2021. Out of the 58 NSP Outlines that were submitted as part of the 7th Call, five new NSPs were selected by the NAMA Facility Board to enter the Detailed Preparation Phase (DPP), an essential stage of the NAMA Facility's project cycle preceding Implementation.

The Ambition Initiative Call and Ambition Initiative – Round Two

The NAMA Facility Board responded to the global priority around climate change mitigation and finance set at the COP26 and the Covid-19 pandemic by strengthening the NAMA Facility's focus towards raising the ambition of climate action and promoting a green recovery. The Ambition Initiative Call and Ambition Initiative – Round Two, distinct from previous Calls, offer developing countries and emerging economies an opportunity to submit NSPs based on their updated NDCs to further mobilise ambitious climate action as they recover from the Covid-19 pandemic. Based on findings from the NSP Outline submissions of the previous Calls, the TSU updated the NSP Outline template to provide even better orientation for applicants.

28 countries submitted a total of 41 NSP Outlines as part of the Ambition Initiative Call, with some NSP Outlines being re-submissions from previous Calls. Although the additional requirement of higher commitment to climate action further reduced the number of eligible NSP Outlines by 39 %, four ambitious and promising NSP Outlines were selected for DPP, one of them being the first NSP of the newly offered modality for piloting.



Since
2012



Approx.
EUR 667 m



43 mitigation
projects



Across
31 countries

Portfolio at a Glance

While one NSP from the 4th Call was discontinued, nine were approved for DPP. The NAMA Facility reached a significant milestone with the completion of its first two NSPs, namely Thailand Refrigeration and Air Conditioning, which triggered a green cooling transition in the country and Mexico Housing, which contributed to the development of sustainable, low-carbon housing in the country.

An assessment of the progress achieved by the 17 NSPs in Implementation revealed that greenhouse gas (GHG) emissions reduction from these projects had kept on increasing since 2018. In 2021, emissions reduction surpassed the target by 45 %. Two NSPs alone, however, namely China Waste Management and Thailand Refrigeration and Air Conditioning, were responsible for achieving the majority of the overall emissions reduction in 2021. The NAMA Facility portfolio target for the volume of public and private finance mobilised was also exceeded by 73 % and 49 %, respectively. The NSPs continued benefiting more people, and the anticipated target was surpassed by 13.4 %. A qualitative assessment of NSPs' achievements to spur transformational change has shown positive results, with the majority of NSPs reporting achievement of the anticipated impact for 2021.

The NAMA Facility also strengthened its role as a knowledge and learning hub to enhance the quality of climate finance instruments through the revision of the NAMA Facility Theory of Change and related monitoring tools (e.g. NAMA Facility Logframe, M & E Framework). These changes, along with increased evaluation, knowledge management and communications efforts, allow a higher assurance in data quality and assist NSPs in conveying lessons learnt and challenges more accurately. Moreover, lessons learnt from across NSPs could be systematically disseminated to potential applicants, NAMA Support Organisations (NSOs) and the broader climate finance community. Such activities help demonstrate the NAMA Facility's ability to learn and adapt its approaches over time.

The revision of the Evaluation and Learning Exercises (ELEs) concept represented a key component of portfolio-wide learning in 2021. Six ELEs took place, including two mid-term and four final evaluations and presented a range of NSP-specific findings and recommendations on how to

improve the NSP implementation efforts. While the final reports of the six ELEs conducted in 2021 have not yet been published, preliminary conclusions from the NSPs' evaluations are outlined in this report. Additionally, an ELE meta study has been initiated that will help identify reoccurring findings to better understand the common challenges and learning opportunities of NSPs' pursuit of transformational change.

In 2021, the socio-economic consequences of the Covid-19 pandemic also became more evident and affected the pace of implementation of NSPs. Overall, the TSU and NSOs, along with their implementing partners, demonstrated a degree of high resilience and adaptability to the new pandemic conditions. The TSU moved forward with the in-depth assessments (IDAs) in a virtual format without compromising the quality of the analysis of the proposed NSP Outlines. The pandemic caused some disruptions in the progress of the NSPs activities and in some cases, timeline and budgetary changes led to a request from the NSPs for amendments.

2021 marked a significant year in terms of the TSU's engagement with other climate initiatives and organisations. For instance, the NDC Partnership became a key collaborator in disseminating information about the Ambition Initiative Call and assisting national governments interested in accelerating climate action to better develop NSP Outlines. Five organisations, notably the Fonerwa Rwanda Green Fund, World Resources Institute, WWF Pakistan, Frankfurt School for Finance and Management and Friedrichsdorfer Institut zur Nachhaltigkeit (IzN) e.V. joined the list of institutions engaged in NSP Implementation resulting in an increase of the overall number to 19.

All these exciting developments in 2021 demonstrate how the NAMA Facility further evolves, grows and learns, thus further gaining significance as a fund that catalyses investment, strengthens capacities and triggers behaviour change in developing countries and emerging economies. All current and future prospective countries and institutions, already part of NSPs or possible future ones, are invited to engage with us to further advocate for ambitious climate action in the coming years.

NSP in Thailand



On 22 – 26 February 2021, the NSP provided a Laser Land Levelling training to potential service providers in Ayutthaya province. The training contributes to one of the project outputs in developing a market on Laser Land Levelling service for rice farming in Thailand.



NSP in China



In Suzhou, municipal solid waste (MSW) is segregated at source into food, recyclable, hazardous and residual waste. The latter is collected and partly transported to the domestic waste-to-energy plant with a daily capacity of 2250 tons of waste.



NSP in Mexico



Technical visit of the NSP while a project developer conducts an energy audit at Telas Asturcon, an industrial SME from the textile sector.



NSP in Indonesia



Left to Right: Representatives of SECO, BMUV, Mayor of Makassar, and MoT at the Smart Transportation Forum 2021.



Abbreviations

AFOLU	Agriculture, Forestry and Other Land Use
AMEXGEN	Asociación Mexicana de Empresas de Gestión Energética (Mexican Association of Energy Management Companies)
ASP	Applicant Support Partner
ATU	Urban Transport Authority (Lima and Callao, Peru)
BEIS	Department for Business, Energy and Industrial Strategy of the United Kingdom
BMU	Bundesministerium für Umwelt, Naturschutz, nukleare Sicherheit und Verbraucherschutz (German Federal Ministry of the Environment, Nature Conservation and Nuclear Safety)
BRT	Bus rapid transit
CFCFP	Climate Funds Collaboration Platform
CIFF	Children's Investment Fund Foundation
DAC	Development Assistance Committee
DMRE	Department of Mineral Resources and Energy (South Africa)
DO	Delivery Organisation
DPP	Detailed Preparation Phase
EE	Energy efficiency
EU	European Union
EUR	Euro
EV	Electric vehicle
FA	Financing agreement
FAO	Food and Agriculture Organisation
FC	Financial Cooperation
GBP	Great Britain Pound
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (German Corporation for International Cooperation)
GHG	Greenhouse gas
HFC	Hydrofluorocarbon
IDA	In-depth assessment
IDB	Inter-American Development Bank
IPA	Intergovernmental project agreement
KEHATI	Indonesian Biodiversity Foundation
KfW	Kreditanstalt für Wiederaufbau (Development Bank)
LDCs	Least Developed Countries
LMIC	Lower Middle-income Country
NAMA	Nationally Appropriate Mitigation Action
NFGA	NAMA Facility Grant Agent
NDC	Nationally Determined Contributions
NDCP	Nationally Determined Contributions Partnership
NSO	NAMA Support Organization
NSP	NAMA Support Project
ODA	Official Development Assistance
OECD	Organisation for Economic Co-operation and Development
PPA	Power Purchase Agreement
SIDS	Small Island Developing State
SME	Small and Medium Enterprises
TA	Technical Assistance
TC	Technical Cooperation
tCO₂e	Metric tons of carbon dioxide equivalent
ToC	Theory of Change
TSU	Technical Support Unit
UNDP	United Nations Development Programme
UMIC	Upper Middle-income Country

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Main Developments in 2021



1.1 2021 at a Glance

The NAMA Facility widened its portfolio in 2021, approving the development of seven additional projects in seven countries including six new countries.

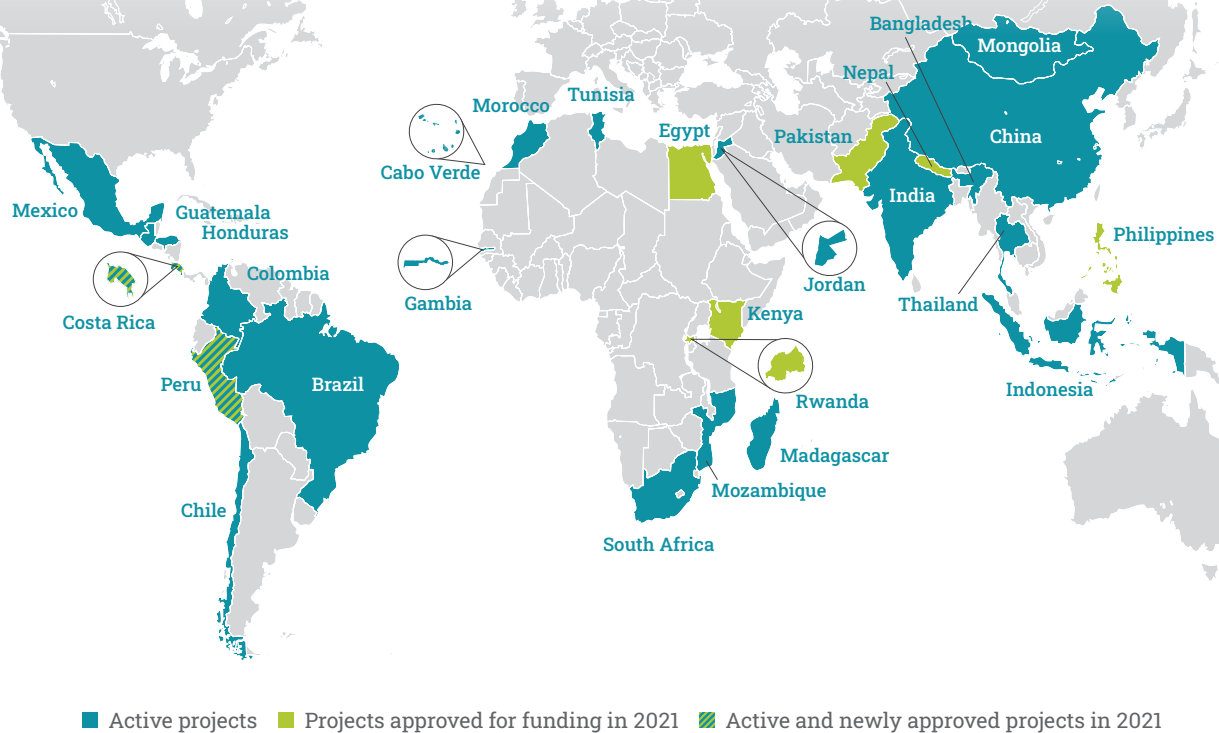


Figure 1: NAMA Facility NSP portfolio in 2021



6.6 m tCO₂e reduced by NSPs in 2021, equivalent to 1.3 m passenger vehicles kept off the road for one year¹



1.2 m people benefitted directly from NSPs in 2021



1 new Donor joined in 2021: the Children's Investment Fund Foundation (CIFF)



EUR 100 m made available by the NAMA Facility Board for the Ambition Initiative – Round Two



EUR 285 m leveraged through transformational NAMAs from public and private actors in 2021



5 new partners joined at the NSO-level in 2021: Fonerwa Rwanda Green Fund, World Resources Institute, WWF Pakistan, Frankfurt School of Finance and Management and the Friedrichsdorfer Institut zur Nachhaltigkeit (IzN) e.V.

¹ U.S. Environmental Protection Agency: [Greenhouse Gas Equivalencies Calculator](#)

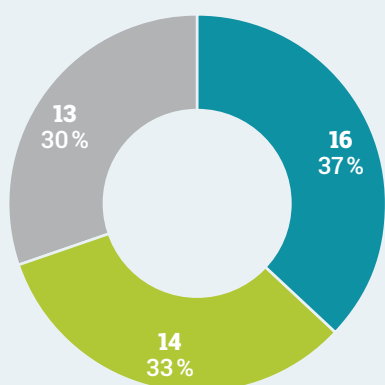
1.2 NSP portfolio Overview

The NAMA Facility NSP portfolio is comprised of 43 projects which are distributed across Latin America and the Caribbean, Africa and Asia and the Pacific (see Figure 2). The countries in which NSPs intervene are socio-economically diverse. The current portfolio of the NAMA Facility includes 7 least developed countries (LDCs), 18 lower middle-income countries, 17 upper middle-income countries, and 1 high-income economy². Chile, the only high-income economy among the NSP countries, was classified as such in 2013³ – the same year it participated in Call 1.

In 2021, Rwanda, Nepal (LDCs), Egypt, and Pakistan (lower middle-income countries) became part of the NAMA Facility portfolio with their very first NSPs. In addition, Kenya and the Philippines (lower middle-income countries) that had discontinued projects in the past returned to the NAMA Facility portfolio with new projects (as illustrated in Figure 1). The NSPs contribute to carbon-neutral development in various sectors such as energy efficiency (EE), renewable energy, transport, waste and Agriculture, Forestry and Other Land Use (AFOLU) (see Figure 3).

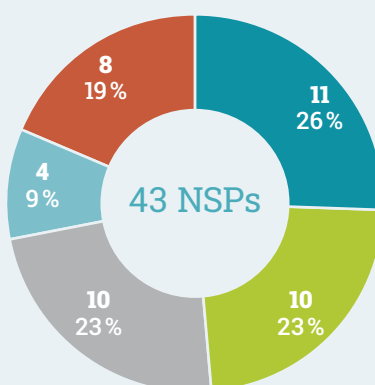
As of December 2021, the NAMA Facility had 17 NAMA Support Projects (NSPs) in Detailed Preparation Phase (DPP), 17 NSPs in Implementation, 2 completed NSP and 7 NSPs which were discontinued after DPP (see Figure 4).

Figure 2: Geographical distribution of NAMA Facility projects



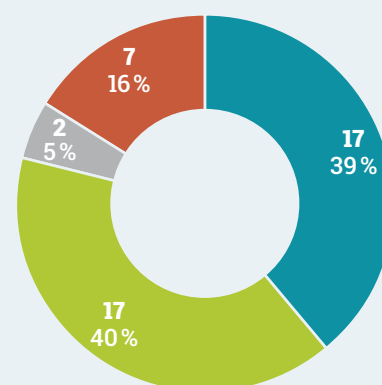
■ Latin American and the Caribbean
■ Africa
■ Asia and the Pacific

Figure 3: NAMA Facility portfolio: Sectoral Breakdown



■ Energy Efficiency
■ Renewable Energy
■ Transport
■ Waste
■ AFOLU

Figure 4: Status of the NSPs up to December 2021



■ In Implementation
■ In DPP
■ Completed
■ Discontinued after DPP

² According to the OECD Development Assistance Committee (DAC) classification of Official Development Assistance (ODA) recipients.

³ OECD et al. (2019), Latin American Economic Outlook 2019: Development in Transition, OECD Publishing, Paris, <https://doi.org/10.1787/g2g9ff18-en>.

2021 was marked by a strong renewed commitment to ambitious climate action, with the approval of 9 new NSP Outlines for DPP. While no new NSP entered Implementation in 2021, two NSPs were completed. Finally, Mexico Sugar

Mills, a project from the 4th Call, was discontinued. A more detailed overview of the status of each NSP and the changes that occurred in 2021 can be found in Table 1.

Table 1: Detailed status of the NSP portfolio of NSPs in 2021

NSP	Preparation (DPP)	Implementation	Completed	Discontinued ⁴	Changes in 2021
001 Mexico Housing			TC/FC		FC completed
005 Costa Rica Coffee		FC	TC		
006 Colombia Transit-Oriented Development		FC	TC		
009 Indonesia Transport		TC		FC	
025 Chile Renewable Energy		FC	TC		
203 Tajikistan Forestry					
212 Peru Transport		TC	FC		
228 Burkina Faso Biomass Energy					
237 Thailand Refrigeration and Air Conditioning			TC/FC		TC/FC completed
306 Colombia Refrigeration		TC/FC			
308 Guatemala Cookstoves		TC/FC			
316 Kenya Transport					
317 South Africa Public Buildings and Infrastructure		TC/FC			
318 China Waste Management		TC			
404 Uganda Cookstoves					
405 Thailand Rice		TC/FC			
410 The Gambia Grid-Connected Solar		TC/FC			
414 Mexico SME Energy Efficiency		TC/FC			
428 Philippines Distributed Solar					
437 Tunisia Clean Energy in Buildings		TC/FC			
460 Brazil Beef		TC/FC			
469 Mexico Sugar Mills					Discontinued
505 Brazil Industrial Energy Efficiency		TC/FC			
526 Peru Coffee					
537 Palestine Olive Value Chain					

4 This includes only NSPs that were discontinued after Appraisal / DPP, not NSPs that were not approved for DPP after the in-depth assessment.

NSP	Preparation (DPP)	Implementation	Completed	Discontinued ⁴	Changes in 2021
541 India Waste Management		TC/FC			
546 Mozambique Waste Management					
548 Cabo Verde Electric Vehicles		TC/FC			
566 Colombia E-Mobility					
603 Morocco Energy Efficient Households					Paused
619 Mongolia Building Retrofitting					
639 Madagascar REDD+					
644 Honduras Livestock					
649 Jordan Grid Enhancement					
709 Rwanda E-Mobility					Approved and entered DPP
712 Peru Organic Waste Management					Approved for DPP
727 Egypt Solar PV Industry					Approved and entered DPP
728 Philippines Tidal Stream					Approved and entered DPP
744 Pakistan Sustainable Textile Sector					Approved and entered DPP
804 Kenya Solar Powered Cold Chain Services					Approved for DPP
808 Costa Rica Green Hydrogen					Approved for DPP
823 Nepal Electric Transport					Approved for DPP
832 Kenya Small Vehicles E-Mobility					Approved for DPP

NSPs in DPP

Out of the 9 NSP Outlines that were selected for DPP in 2021, 4 began Phase 1 of DPP in the same year, namely Rwanda E-Mobility, Egypt Solar PV Industry, Philippines Tidal Stream and Pakistan Sustainable Textile Sector. Jordan Grid Enhancement entered DPP Phase 2.

NSPs in Implementation

While no additional NSPs started implementing in 2021, the following 6 NSP Proposals were received and are being currently assessed:

- 537 Palestine Olive Value Chain;
- 546 Mozambique Waste Management;
- 566 Colombia E-Mobility;
- 644 Honduras Livestock;
- 639 Madagascar REDD+, and
- 619 Mongolia Building Retrofitting

In 2021, 10 NSPs in Implementation requested an extension, two of them (Cabo Verde Electric Vehicles and India Waste Management) twice. Most requests were approved by the NAMA Facility Board. Requests were made to accommodate conceptual changes, extension of implementation of projects, and / or budget shifts in main budget lines compared to approved NSP budget.

Several causes for the request of amendments can be identified, one of them being the Covid-19 pandemic, which disrupted the implementation of some projects. For Cabo Verde Electric Vehicles, the pandemic resulted in one of the milestones not being met and required an extension. Delays in the NSP Peru Transport were caused by political instability in the country and the Covid-19 pandemic. Another cause for delay which resulted in an amendment request was a pending Intergovernmental Project Agreement (IPA) for Mexico SME Energy Efficiency.

Intergovernmental Project Agreements (IPAs)

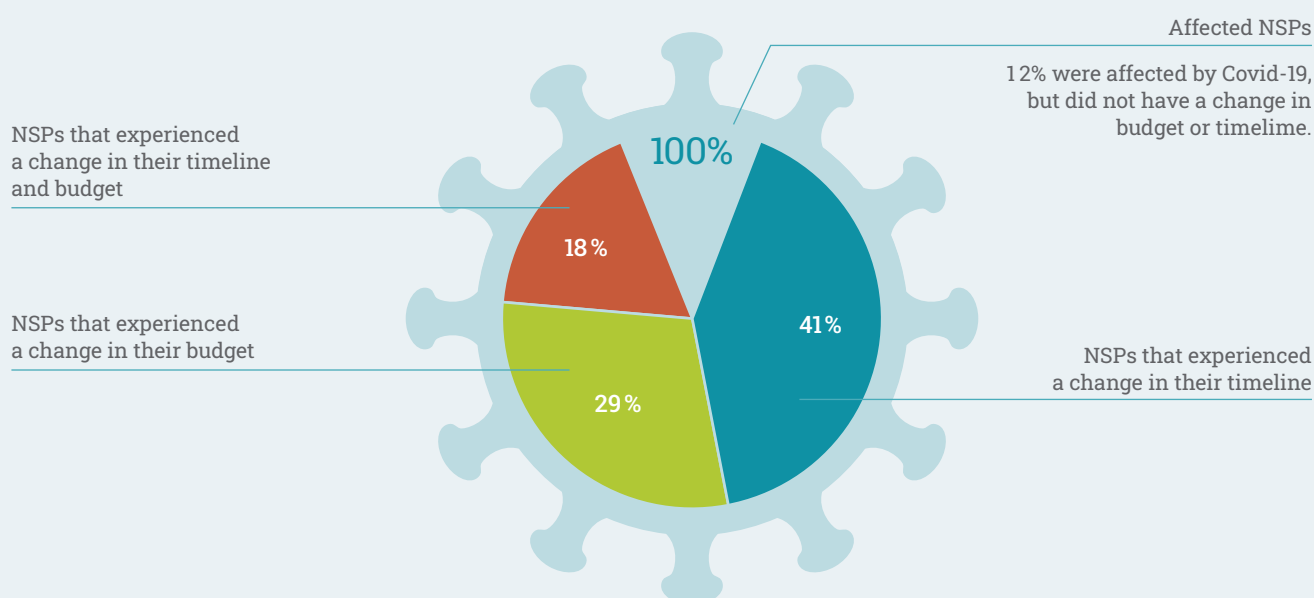
Intergovernmental Projekt Agreements (IPAs) are agreements under international law between the German Government and the government of the partner country which describe the foundations of the legal security and provide the project with essential rights (for their protection) during service delivery. This is only compulsory for NSPs implemented by GIZ. In 2021, IPAs for Brazil Industrial Energy Efficiency, India Waste Management and Cabo Verde Electric Vehicles were officially completed. Two IPA processes (South Africa Public Buildings and Infrastructure and Mexico SME Energy Efficiency) are ongoing and expected to be completed in 2022.

Impact of the Covid-19 pandemic on project implementation

The Covid-19 pandemic affected all NSPs in Implementation, albeit to varying degrees. While all NSPs saw their activities affected by the pandemic to a certain extent, 41 % reported that it resulted in a change in their timelines, 29 % in a change in their budgets and 18 % in

a change in both (see Figure 5). The impact of Covid-19 on the completion of each NSP's activities varies across the portfolio. For the majority of the NSPs, the pandemic caused some disruptions in the progress of their activities, for example by delaying recruitment of personnel, postponing meetings or trainings, among others. However, some NSPs, such as Chile Renewable Energy and Thailand Rice reported difficulties associated with the change from in person to virtual formats in conducting key activities (e.g., a call for investment subsidies, trainings with farmers). Such challenges contributed to but are not solely responsible for modifications in their timelines. In some projects, such as in Colombia Refrigeration or Mexico Housing, the Covid-19 pandemic continues to impact households' capacities and the interest to make use of relevant technologies, partly reflected in modifications to NSP budgets. The impact of the Covid-19 pandemic has also been more severely felt by some NSPs, such as China Waste Management, where restrictions on mobility led to delays in the construction and operation of waste management facilities and prevented international consultants from travelling to China. Such interruptions contributed to both timeline and budgetary changes.

Figure 5: Impact of Covid-19 on NSPs in implementation in 2021



1.3 Calls for Projects in 2021

1.3.1 Overview

The year 2021 was unprecedented in the history of the NAMA Facility, as it was the first year ever in which two Calls for Projects ran in parallel. While as part of the 7th Call, the selected NSP Outlines were subject to in-depth assessments, the Ambition Initiative Call was open to new submissions. The special Call targeted highly ambitious climate action combined with green recovery measures as a response to the Covid-19 pandemic. In addition, for the first time ever, in-depth assessments of the NSP Outlines for both the 7th Call and the Ambition Initiative Call took place in a fully remote format. Being demanding technically, it allowed for an uninterrupted and even timely assessment and selection of NSPs, despite the global pandemic.

At the occasion of the 26th session of the Conference of the Parties (COP26) in Glasgow, the Ambition Initiative – Round Two was launched on 9 November 2021, emphasising continuity and consistency of the NAMA Facility's focus on ambitious climate action and green recovery efforts.

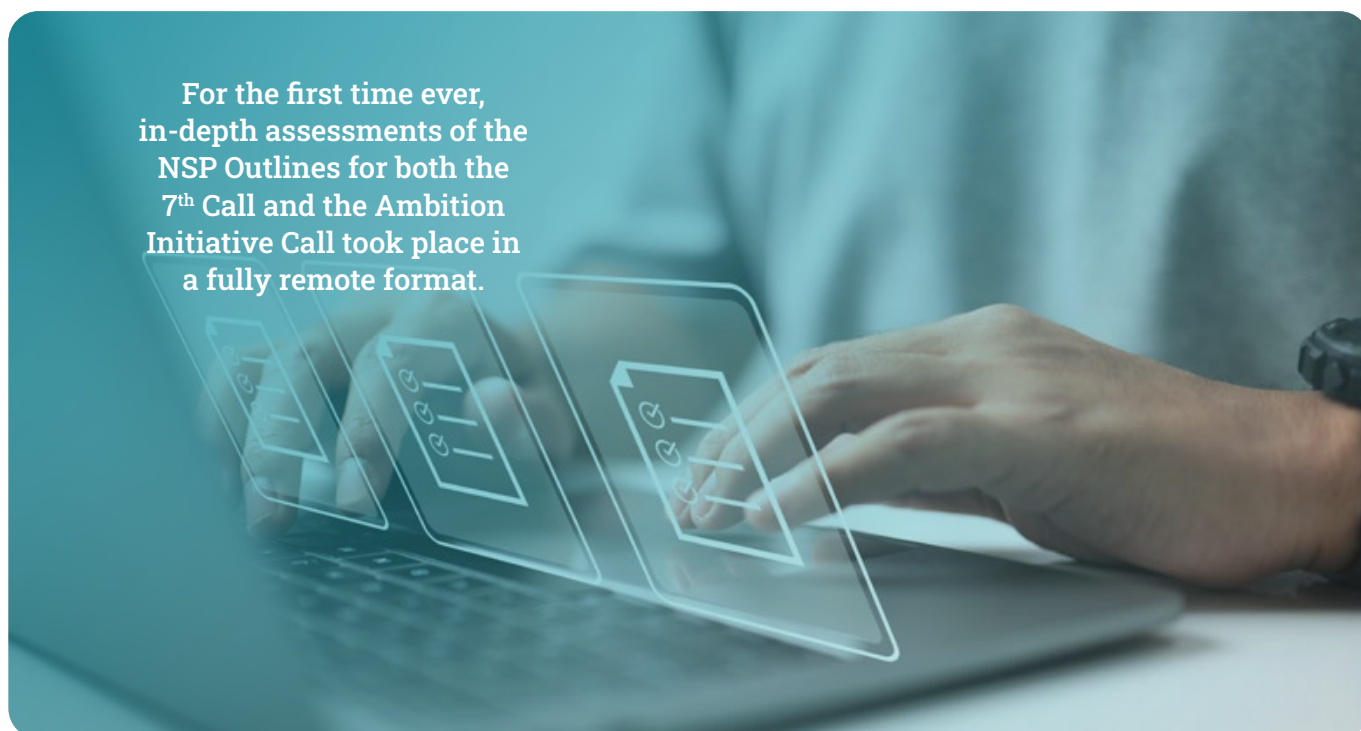
7th Call: Outcomes

The 7th Call, launched on 1 April 2020, was open for NSP Outline submissions until 30 September 2020, and the desk-based assessments were conducted between 1 October and 30 November 2020 (for more details, please refer to the Annual Report 2020).

At the Board meeting 19, held on 21 January 2021, based on the recommendations from the TSU and external assessors, the following 11 NSP Outlines were selected by the NAMA Facility Board for an in-depth assessment:

- 702 Vanuatu Solar Power Electrification
- 709 Rwanda E-mobility
- 710 Nepal Electric Cooking
- 712 Peru Organic Waste Management
- 721 Honduras Palm Oil
- 724 Ghana Steel EE
- 727 Egypt Solar PV Industry
- 728 Philippines Tidal Stream
- 823 Nepal Electric Transport
- 731 Vietnam Housing
- 744 Pakistan Sustainable Textile Sector

For the first time ever,
in-depth assessments of the
NSP Outlines for both the
7th Call and the Ambition
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The TSU was mandated to decide on the appropriate format of in-depth assessments. As such, due to the Covid-19 pandemic, all NSPs underwent an in-depth assessment in a remote format, with the exception of Philippines Tidal Stream. Given that it was a resubmission of an NSP Outline submitted as part of the 6th Call and had as such undergone a full on-site assessment already, the TSU decided to conduct a round of written clarifications instead. All in-depth assessments were conducted from 16 February to 5 March 2021.⁵ Based on the refined NSP Outline assessments, out of the 11 NSPs selected for in-depth assessments, 7 were recommended to be of a sufficient quality to proceed into DPP.

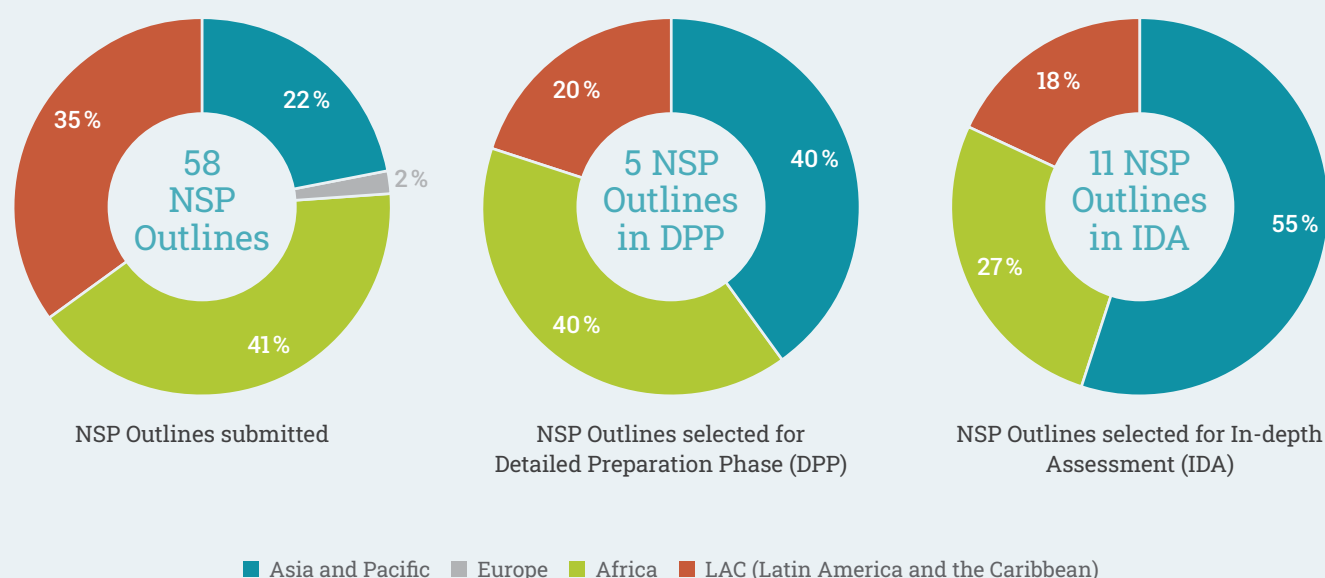
Based on these results of the in-depth assessments, the Board decided during the Board meeting 20 held on 9 April 2021 to fund DPPs of the following 5 NSPs:

- 709 Rwanda E-mobility
- 712 Peru Organic Waste Management
- 727 Egypt Solar PV Industry
- 728 Philippines Tidal Stream
- 744 Pakistan Sustainable Textile Sector

The regional distribution of NSP Outlines at different assessment stages shows that applications from Asia and the Pacific fared best compared to other regions in terms of the ratio of NSP Outlines submitted and NSP Outlines selected for DPP (Figure 6).

As in previous Calls, the TSU offered feedback calls to applicants of the non-selected NSPs to promote a reflection on and improvement of NSP Outlines. By the end of the reporting period, 36 out of 58 (62 %) applicants requested and received feedback (the share was lower than in the 6th Call when 72 % of applicants had requested and received feedback). Among them, the feedback calls were requested by 32 applicants out of 47 (68 %) who had been rejected after desk-based assessments, and 4 applicants out of 6 (66 %) who had been rejected after in-depth assessments. The statistics do not confirm the assumption that the applicants that progress further in the NSP Outline selection process are more prone to request a feedback call. This effect can be partially attributed to the specifics of in-depth assessments when the TSU's feedback is embedded in a structure and the schedule of the exercise.

Figure 6: 7th Call – Regional distribution of NSP Outlines (in percentage) at different NSP Outline assessment stages



5 Four assessments were conducted by the TSU staff only, 7 assessments were performed by the TSU together with external assessors.

The possibility to receive feedback was highly appreciated by applicants and gave the TSU an opportunity to gather valuable information on the application form and procedure, allowing for improvements to the overall Call management process.

The Ambition Initiative Call: Overview and Outcomes

The Ambition Initiative Call was launched on 12 December 2020 and was open for NSP Outline submissions until 31 May 2021. In the face of global challenges, the Ambition Initiative Call targeted an even higher level of ambition than the previous Calls of the NAMA Facility to support countries to implement their enhanced Nationally Determined Contributions (NDCs) and build back greener as they recovered from the Covid-19 pandemic (for more details, please refer to [sub-chapter 1.3.2](#) below).

In total, 41 NSP Outlines from 28 countries were submitted (Figure 7), 20 of the NSP Outlines were re-submissions from previous Calls. 7 NSP Outlines (17 % of the total) were rejected as formally ineligible (i.e. time of a submission, eligibility of Applicant / Applicant Support Partner (ASP),

etc.), and 16 NSP Outlines (39 %) did not meet the NDC-related eligibility criteria of the Ambition Initiative Call. Among the latter, in case of 9 NSP Outlines (22 % of the total and 56 % of the ineligible NSP Outlines based on the NDC-related criteria), the countries in which the NSPs intended to intervene had not submitted an updated NDC to UNFCCC until the closure of the Call on 31 May 2021. For 7 NSP Outlines (17 % of the total and 44 % of the ineligible NSP Outlines based on the NDC-related criteria), the updated NDCs of countries in which they were to be implemented have not been considered ambitious enough to meet the requirements of the Ambition Initiative Call. Thus, the Board agreed to take forward 18 NSP Outlines for a substantive desk-based assessment.

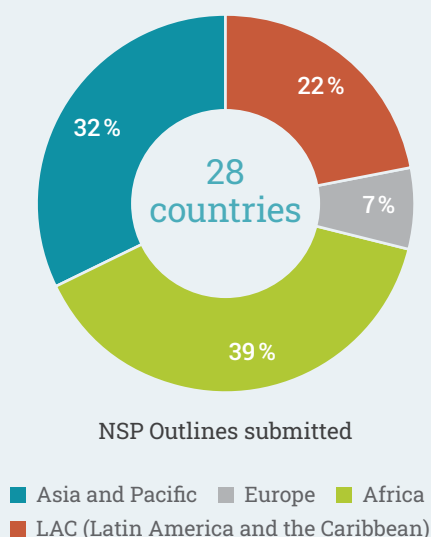
Similar to previous Calls, the desk-based assessments were conducted independently by the TSU and the external assessors. As a result of a competitive tender, E Co Ltd. Group was selected to perform assessments that were conducted between 1 June and 30 July 2021. Through a series of consultations, the TSU and the external assessors compiled a joint list of NSP Outlines recommended for in-depth assessments. Based on this recommendation, the Board selected the following 5 NSP Outlines for an in-depth assessment as part of the Board meeting 21 on 10 September 2021:

- 804 Kenya Solar-Powered Cold Chain Services
- 808 Costa Rica Green Hydrogen
- 820 North Macedonia Waste Management
- 823 Nepal Electric Transport
- 832 Kenya Small Vehicles E-Mobility

Among the shortlisted NSP Outlines, one NSP (820 North Macedonia Waste Management) was selected for an email exchange for clarifications prior to a potential in-depth assessment. Based on the analysis of the responses provided by the applicant, the TSU concluded that the NSP was unable to relieve concerns that had arisen during the desk-based assessment and decided not to proceed with an in-depth assessment of the NSP Outline.

For another NSP Outline among the shortlisted five NSPs (823 Nepal Electric Transport), only a written clarification round was conducted instead of a full in-depth assessment. This approach was taken due to the fact that a similar version of this NSP Outline had been submitted

Figure 7: Ambition Initiative Call – Regional distribution of NSP Outlines



in the 6th Call and at that time underwent a full, on-site in-depth assessment. The NSP Outline was resubmitted in the 7th Call and was the subject of a full, remote in-depth assessment as well.

In-depth assessments of the 4 NSPs took place between 28 September and 6 October 2021 and were conducted by the TSU staff. After a remote in-depth assessment with each NSP, the scores of the NSP Outline assessments were updated, which led to the recommendation of all 4 NSPs to enter the DPP.

Based on the results of the in-depth assessments and further considerations, the Board decided during the Board meeting 22 held on 21 October 2021 to fund the DPP of the 4 NSPs listed as follows:

- 804 Kenya Solar-Powered Cold Chain Services
- 808 Costa Rica Green Hydrogen
- 823 Nepal Electric Transport
- 832 Kenya Small Vehicles E-Mobility

It is worth noting that the NSP Outline 808 Costa Rica Green Hydrogen became the first project in the NAMA Facility portfolio to engage with hydrogen technology. It is

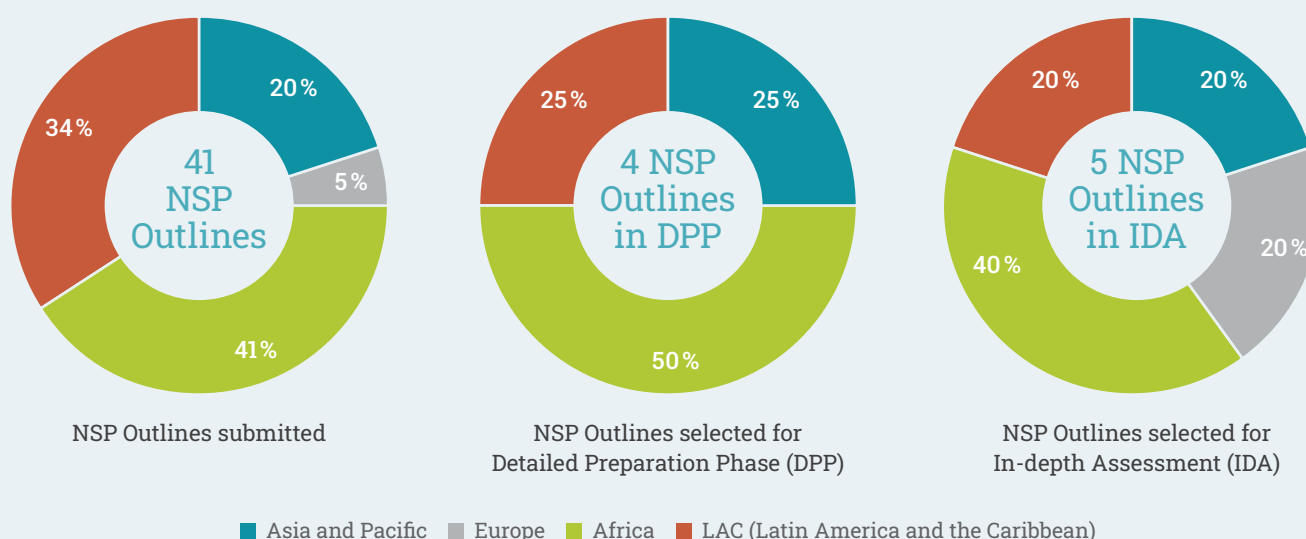
With the launch of the Ambition Initiative – Round Two at COP26 in Glasgow in November 2021, the NAMA Facility has reaffirmed its commitment to raising climate ambition worldwide, providing funding of EUR 100m to grow the portfolio of NAMA Support Projects (NSPs).

Philipp Behrens, Head of International Climate Initiative (IKI), German Board Member

also the first NSP operating under the “piloting modality” established under the Ambition Initiative Call. This modality allows NSPs to shift from a smaller piloting stage to the full-scale implementation within the NSP timeline.

As seen from Figure 8, in comparison to the 7th Call, the Ambition Initiative Call featured a higher share of the successful NSP Outlines received from African countries compared with other regions of the world. Nevertheless, applications from Asia and the Pacific remained strong in terms of the ratio of NSP Outlines submitted and NSP Outlines selected for DPP.

Figure 8: Ambition Initiative Call –
Regional distribution of NSP Outlines at different Outline assessment stages



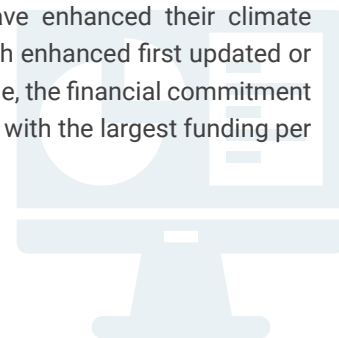
As in previous Calls, applicants of the non-selected NSPs were offered a feedback call by the TSU aiming to promote learning and improvement in the elaboration of NSP Outlines. By the end of the reporting period, 22 applicants out of 41 (54 %) requested and received feedback (the share was lower in comparison to both the 7th and the 6th Calls). Among these applicants, 21 out of 36 applicants (58 %) which had been rejected after desk-based assessments requested a feedback call. An additional feedback call was requested by the only applicant rejected at the stage of in-depth assessments (820 North Macedonia Waste Management). The overall lower interest of applicants to feedback calls as part of the Ambition Initiative Call can be attributed to the fact that a larger proportion of NSP Outlines were rejected at the early stage of the assessment process due to their ineligibility on the basis of the NDC-related criteria, which potentially discouraged them from pursuing the opportunity to receive feedback.

Ambition Initiative – Round Two: Overview

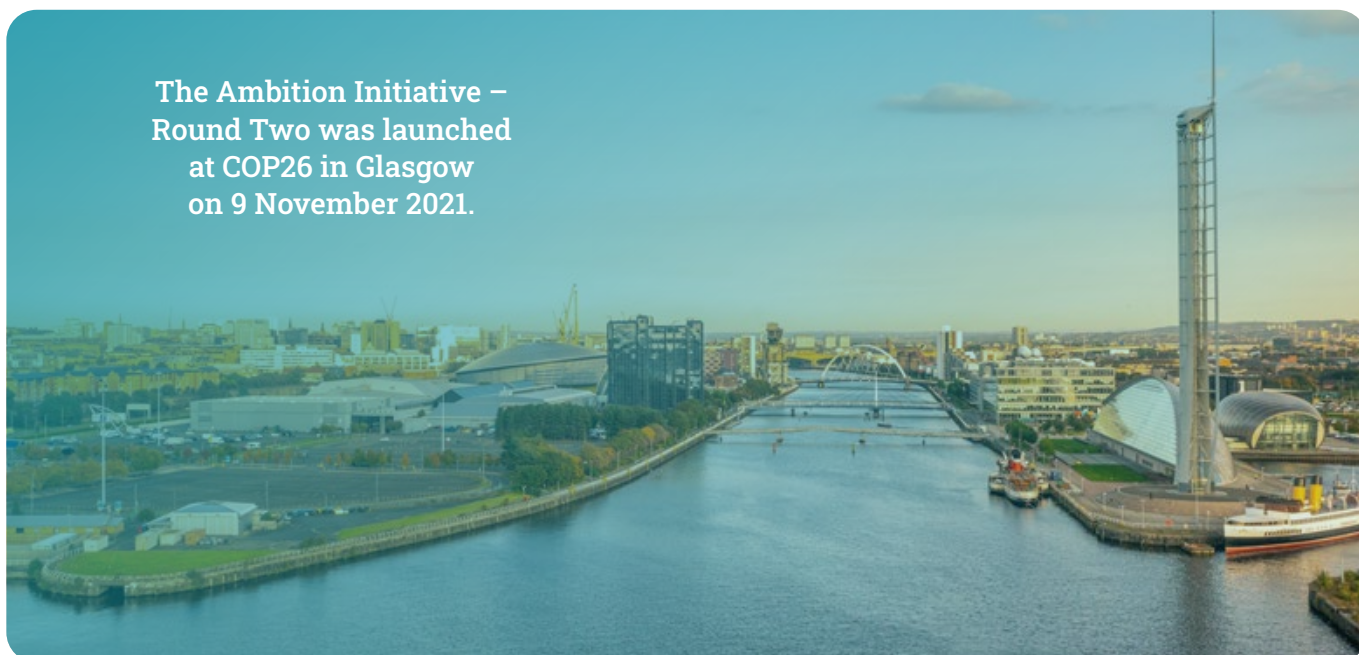
The Ambition Initiative – Round Two was launched at COP26 in Glasgow on 9 November 2021. Featuring the same set of requirements and opportunities for potential applicants as the Ambition Initiative Call, the new Call will be open until 30 April 2022.


1.3.2 Overview of Conceptual and Material Changes

Over the course of the nine Calls, the TSU has continuously optimised the processes and templates related to NSP Outline submissions and their assessment to simplify and clarify the scope of work for applicants, facilitate the enhanced quality of NSP Outlines and support the evaluation process. Changes stemming from observations and lessons learnt during the Calls as well as applicants' feedback have been regularly incorporated into the application documents. Simultaneously, the Ambition Initiative Call marked a shift in terms of conceptual considerations, focusing and narrowing the scope of the Call to the countries that have enhanced their climate ambition as demonstrated with enhanced first updated or second NDCs. At the same time, the financial commitment of the Board further increased with the largest funding per Call ever availed.



The Ambition Initiative – Round Two was launched at COP26 in Glasgow on 9 November 2021.





Conceptual shifts serve as good examples of continuous learning and evolution by the NAMA Facility, including its ability to reflect on the latest trends and approaches to climate change mitigation.

Conceptual changes in the Ambition Initiative Call and the Ambition Initiative – Round Two

The Ambition Initiative Call and the Ambition Initiative – Round Two differ significantly from previous Calls of the NAMA Facility. Several changes were implemented to expand the pool of potential applicants (e.g. the ability of commercial entities to participate in the Call), to widen the range of modalities eligible to receive support so as to include pilot novel technologies and to drive the alignment and coordination of NSPs' activities with action plans developed by other climate initiatives (e.g. the requirement to align NSP activities with NDC Partnership Plans as far as such plans existed). These conceptual shifts serve as good examples of continuous learning and evolution by the NAMA Facility, including its ability to reflect on the latest trends and approaches to climate change mitigation.

The Ambition Initiative Call and the Ambition Initiative – Round Two are also unique as they attempt to provide a swift response to immediate global challenges: the Covid-19 pandemic and the worsening climate crisis. Thus, the Ambition Initiative Call and the Ambition Initiative – Round Two, in contrast to the previous Calls of the NAMA Facility, feature a significantly strengthened focus on the enhancement and increased level of ambition of individual NDCs required from NSPs. Furthermore, the Ambition Initiative Call and the Ambition Initiative – Round Two require a robust framework to monitor the impacts of the green recovery measures pursued by NSPs.

Material updates of the application documents (the Ambition Initiative Call and the Ambition Initiative – Round Two)

FINANCIAL MECHANISM AND BUSINESS MODEL

During the 7th Call and the Ambition Initiative Call, drawbacks concerning the clarity of several NSP Outlines in terms of the proposed financial mechanisms and business models were observed by the TSU and the external assessors. Some examples of reoccurring issues included but were not limited to the following: (1) lack of justification of the choice of a financial support mechanism; (2) lack of analysis of the profile of beneficiaries and end-users as well as description of their incentives for participating; (3) poor presentation of the business case.

To reflect these points and steer applicants towards collecting and providing the necessary data, the TSU updated Annex 5 (Business Case and Financial Mechanism). It was further broken down into two complementary documents: Annex 5a requesting qualitative and quantitative information on the business-as-usual approach as well as on the proposed technological and financial interventions of the NSP, and Annex 5b offering space for underlying calculations informing the business model of the NSP.

To provide additional guidance to applicants, the TSU recorded and published a podcast on Annex 5a, explaining each question in the document and outlining the expected depth and format of the data to be provided.

MITIGATION POTENTIAL

The overall quality and amount of information provided by applicants on the GHG emissions mitigation potential has been improving consistently over the years. Nevertheless, given the complexity of the calculations and underlying assumptions, there is still significant potential for improvement. Observations on main challenges faced by the applicants when calculating GHG emissions reduction can be summarised as follows:

- **Parameters and assumptions:** Defining and conclusively presenting assumptions underlying the GHG emissions reduction calculations remain challenging for applicants. Often, no assumptions and parameters were linked to the calculations while numbers presented were not based on formulas, rendering it difficult to check the plausibility of the presented calculations.
- **Direct and indirect emissions:** Many NSP Outlines presented insignificant volumes of direct and/or indirect emissions reduction. More specifically, indirect emissions were either missing, highly theoretical, were based on unclear assumptions or were not appropriately developed, which undermined their plausibility. Also, direct GHG emissions reduction appeared very modest in some NSP Outlines, suggesting a limited level of replicability and sustainability of the approach promoted by the NSP.
- **Mitigation Calculations:** Calculation methodologies used were often not robust, for example concerning emissions reduction estimates that were based on contradictory assumptions regarding technology lifetimes in and across Annex 6 or compared to those used in logframes. In some instances, applicants did not account for the growth of the entire sector and thus the overall increase in sectoral GHG emissions.
- **Cost Effectiveness:** In some cases, the potential GHG emissions reduction to be triggered by the NSP was either overestimated or quite low in relation to the requested funds thus resulting in an unfavourable cost-benefit correlation. In NSP Outlines where the financing structures were rather robust, mitigation costs often appeared to be too high.
- **Leakages and Rebound effects:** In most NSP Outlines, estimates did not consider leakage and rebound-related risks.

To address the pitfalls listed above, and to improve the guidance provided to applicants as part of the Ambition Initiative – Round Two, the TSU and external experts (Perspectives Climate Group (PCG) GmbH) engaged in the task of updating Annex 6 on GHG emissions mitigation potential as well as developing cross-sectoral guidelines to support applicants in establishing plausible and clear GHG emissions reduction scenarios. Based on the lessons learnt from the 7th Call of the NAMA Facility as well as NSP Proposal assessments in 2021, the following documents were revised and updated:

- NSP Outline template Annex 6: GHG mitigation potential
- NAMA Facility Mitigation Guideline
- NAMA Facility M & E Framework, Section on M1 Indicator
- M & E Plan, Section on M1 Indicator
- NSP Proposal template Annex 7: GHG mitigation potential

The update resulted in a set of more specific and user-friendly templates to support applicants with varying levels of expertise and capacities in calculating GHG emissions reduction. One of the key innovations was the creation of a consistent linkage between Annex 6 (GHG mitigation potential) used as part of the NSP Outline template and Annex 7 (GHG mitigation potential) supplementing the development of NSP Proposals through a so-called NAMA Facility Mitigation Guideline. Previously, the Guideline was solely focusing on Annex 6 used at the Outline stage.

The revised Annex 6 was made available under the Ambition Initiative – Round Two and published on the website of the NAMA Facility. The NSP Proposal template Annex 7 is to be used by the NSPs from the 7th and Ambition Initiative Calls currently in DPP. The remaining revised documents (M & E Framework and M & E Plan) are expected to be finalised in February 2022.

NSP OUTLINE TEMPLATE

As part of the 7th Call, several NSP Outlines demonstrated a limited quality in terms of the description of the underlying general concept. The NSP Outlines fell short in demonstrating awareness of lessons learnt from pilot activities and/or previous initiatives, not to mention the ability to link the design of the proposed NSP to the lessons collected. The barrier analysis was, in many cases, rather superficial as applicants were unable to describe the underlying, systemic or structural problems perpetuating “barriers” listed in the NSP Outline. Issues like behavioural change and social customs were often poorly analysed and were not factored into the NSP concept, particularly with regard to NSP Outlines intervening in sectors such as agriculture, waste and transport.



To showcase what is expected from a robust, well-thought, context-specific and thoroughly researched NSP Outline, the TSU updated the **NSP Outline template** so as to include guiding questions and instructions.



In addition, a number of supporting communication materials (e.g. a checklist titled **“Dos and Don’ts Before You Submit Your NSP Outline”**) were developed and published on the NAMA Facility website.

Most changes to the NSP Outline template took place in preparation for the Ambition Initiative Call. The TSU further finetuned the guidance in the document as part of the launch of the Ambition Initiative – Round Two.

BUDGET

One of the key learnings from the 7th Call as well as the Ambition Initiative Call was the fact that many applicants found it challenging to correctly fill in Annex 4b – DPP Budget. Thus, additional guidance in the form of new sheets and formulas were added to simplify and automatise budget calculations to the maximum extent possible.

QUALITY OF RESUBMISSIONS

A reoccurring challenge, which has become more prominent with the increase in the shares of resubmissions from the 6th Call onwards, is the lack of quality of resubmitted NSP Outlines. There was no evident and tangible increase in their overall quality, demonstrating that the concerns raised by the TSU or external assessors as part of the previous Calls’ feedback sessions remained unaddressed. To provide applicants with a better overview of the issues to be tackled and create a tool to track and fully comprehend the scale of enhancement of the re-submitted NSP Outlines, Annex 7 was introduced as part of the Ambition Initiative – Round Two. It is expected that this Annex will only apply to NSP Outlines re-submitted from the Ambition Initiative Call. Depending on its success, Annex 7 might be used for any future Calls.

1.3.3 Communications and Outreach

Throughout its communications activities in 2021, the TSU has been continuously delivering on Objective 2 of the NAMA Facility Communications Strategy: “Support the Call process to raise awareness and help improve submission quality.” Thus, during the reporting period, communications and outreach revolved mainly around amplifying two Calls, the Ambition Initiative Call and the Ambition Initiative – Round Two. Communications and outreach channels to support the Calls included individual briefing session with pre-selected potential applicants, social media, the newsletter, news pieces and Call-specific guidance documents circulated on the NAMA Facility website, and finally, events, including live webinars and a side event at COP26. The TSU’s individual briefing sessions on the Ambition Initiative Call and the Ambition Initiative – Round Two covered more than 50 potential applicants including major international institutions and organisations such as UN organisations, IDB, etc.

The Ambition Initiative Call and the Ambition Initiative – Round Two

In order to foster potential applicants to participate in the Ambition Initiative Call, three live webinars were organised (Webinar I: Introduction to the Ambition Initiative, 3 February 2021; Webinar II: NSP Outline Development: Case Studies and Examples, 24 March 2021; and Webinar III: Clarification and FAQs, 21 April 2021). Questions were also systematically answered through Frequently Asked Questions (FAQs) and clarification notes published on 14 January, 10 February, 10 March, 7 April, 28 April, and 19 May 2021. In total, the TSU published 72 responses to FAQs on the NAMA Facility website and 77 additional clarification requests. The TSU also engaged in other outreach activities to guide potential applicants and recorded and published a podcast on the updated Annex 5a (Financial Mechanism and Business Model); developed guidance on “Dos and Don’ts” for NSP Outlines; provided updated Guidelines for Annex 6 (GHG Mitigation Potential) as well as supplementary resources aimed at fostering better quality NSP Outlines in one single publication on the NAMA Facility website.

As the Ambition Initiative – Round Two was launched on 9 November 2021, the TSU organised the first introductory webinar to raise awareness of potential applicants about the Call and its requirements. The live event took place on 15 December 2021. Cumulatively, all four webinars organised in 2021 to support the Ambition Initiative Call and the Ambition Initiative – Round Two had around 50 – 100 live attendees each, with a total of 529 views or an average of 132 views.

As part of communication activities to promote and support the Ambition Initiative – Round Two, FAQs and a first round of clarification notes were published on 9 November and 20 December 2021 respectively. Until the end of 2021, the TSU published 74 responses to FAQs and 16 additional clarification requests on the NAMA Facility website.

Upstream support and cooperation within the climate finance community

During the Ambition Initiative Call, the TSU was in a constant exchange with the NDC Partnership (NDCP), holding regular meetings and checking data on NDC updates. The cooperation was instrumental in disseminating information on the Ambition Initiative Call among the potential applicant countries engaged with the NDCP and wishing to submit NSP Outlines. Through its experts, the NDCP supported national governments in developing the NSP Outlines.

The NDCP became one of the main channels to clarify and emphasise the NDC-related requirements of the Ambition Initiative Call and encourage partner governments to make timely updates of their first NDCs and increase the ambition of their climate action. Two countries accelerated their work on NDCs and submitted interim NDC reports to UNFCCC to be considered eligible under the Ambition Initiative Call.

To further promote the Ambition Initiative Call as well as to identify potential synergies and utilise knowledge and expertise accumulated within the international climate finance community, the TSU has been actively engaged in conversations with the Green Climate Fund (GCF), the International Climate Initiative (IKI) at the German Federal

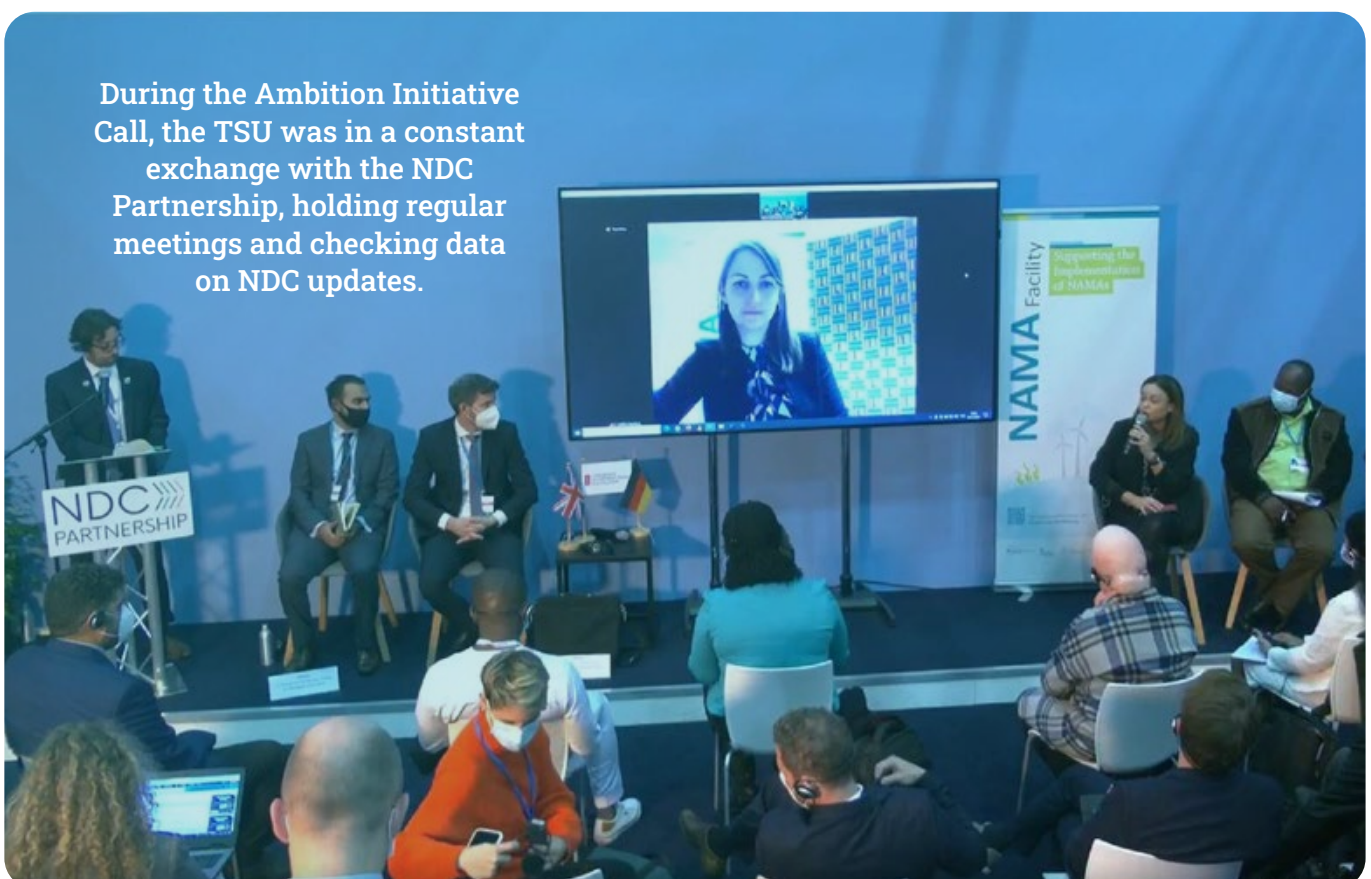
Ministry of the Environment, Nature Conservation and Nuclear Safety (BMU) and International Climate Finance (ICF) at the UK Department for Business, Energy & Industrial Strategy (BEIS). For example, the TSU supported the factsheet development for the NDCP and the IKI to promote the Ambition Initiative Call and NAMA Facility achievements to date (for additional information on the TSU engagement with other climate initiatives please refer to [chapter 1.4](#)).

Currently, the TSU's outreach list for the Ambition Initiative Call and the Ambition Initiative – Round Two contains nearly 80 organisations contacted via newsletter. The growing number of additional entities such as the WWF Pakistan, UNEP, Fonerwa Rwanda Green Fund, World Resources Institute (WRI), Frankfurt School of Finance & Management and Friedrichsdorfer Institut zur Nachhaltigkeit (IzN) e.V. progressing with their NSPs into DPP demonstrates the success of the outreach efforts of the NAMA Facility and the corresponding consistent growth of the diversity of the NAMA Facility portfolio.

COP26

During the NAMA Facility's side event hosted at COP26 in Glasgow at the NDC Partnership Pavilion on 9 November 2021, the NAMA Facility Board formally announced the selected NSPs from the Ambition Initiative Call and launched the Ambition Initiative – Round Two. More than 20 attendees joined in-person and the livestream video had 200 virtual views (as of December 2021), which includes more than 30 livestream viewers during the event. Event speakers included Ministers and high-level representatives from the major funders (Germany, the United Kingdom and the Children's Investment Fund Foundation (CIFF)) and relevant ministries of climate change and environment in Costa Rica, Kenya, and Nepal, selected partner countries for the Ambition Initiative Call funding. The event and Call-related announcements were promoted through the NAMA Facility website, social media, and the newsletter.

During the Ambition Initiative Call, the TSU was in a constant exchange with the NDC Partnership, holding regular meetings and checking data on NDC updates.



1.3.4

The Ambition Initiative Call – further observations

Diversity of applicants

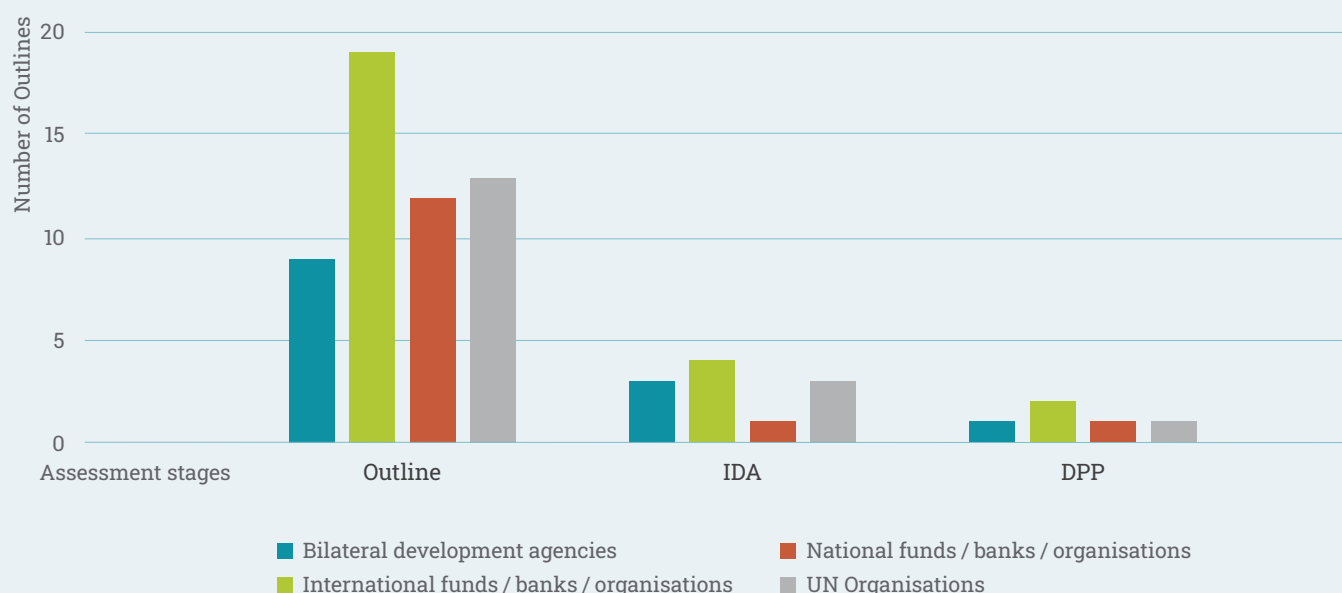
The diversity of applicants was comparable to the 7th Call as the following groups could be distinguished:

- National institutions / development banks / programmes / funds (e.g. the Kenyan Ministry of Transport, Infrastructure, Housing, Urban Development and Public Works (MoTIHUD); the Indonesian Biodiversity Foundation (KEHATI));
- International finance institutions / NGOs / foundations (such as the Inter-American Development Bank (IDB), WRI, Solidaridad);
- UN organisations (e.g. FAO, UNDP, UNCDF);

- Bilateral development agencies (e.g. the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ), Agence Française de Développement (AFD), Swiss State Secretariat for Economic Affairs (SECO), Swiss Development Cooperation (SDC)).

In total, 7 NSP Outlines were submitted by national institutions/development banks/programmes/funds which presented a continuous decrease in comparison to the 7th and 6th Calls with 12 and 26 NSP Outlines respectively submitted by this group of applicants. Various organisations representing international financial institutions, NGOs and foundations (excl. UN) submitted 13 NSP Outlines – a decrease in comparison to the 7th Call (19 NSP Outlines), but an increase in comparison to the 6th Call (9 NSP Outlines). A continuous increase has been observed for UN organisations with 15 NSP Outlines under the Ambition Initiative Call being the highest number of Outlines to date in comparison to the 7th (13 NSP Outlines) and the 6th (10 NSP Outlines) Calls. Bilateral development agencies submitted 6 NSP Outlines as part of the Ambition Initiative Call which was less than in the 7th Call (9 NSP Outlines) but presented the same turnout as under the 6th Call.

Figure 9: 7th Call –
Distribution of NSP Outlines at different assessment stages by type of applicant / ASP



In terms of the overall success rate, in the 7th Call and in the Ambition Initiative Call, bilateral development agencies had the biggest share of NSP Outlines selected for DPP in relation to the number of NSP Outlines submitted (11 % and 33 % respectively). However, in both calls, as indicated above, bilateral development agencies as an applicant represented the smallest percentage of NSP Outline submissions (only 16 % for the 7th Call and 15 % for the Ambition Initiative Call) (see absolute numbers above as well as under Figure 9 and Figure 10).

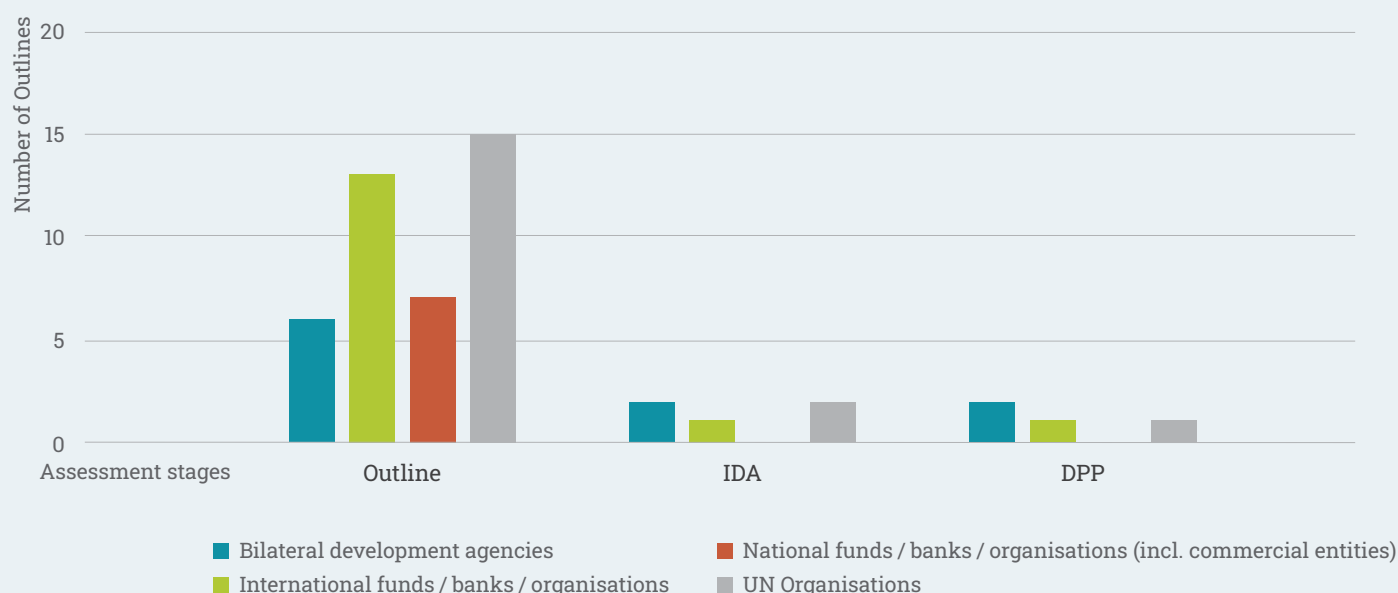
UN organisations in turn submitted the highest number of NSP Outlines in the Ambition Initiative Call (37 %) and were the second largest group of applicants in the 7th Call (22 %). Nevertheless, this was not reflected in their success rate as in total only two NSP Outlines were selected for DPP as part of the 7th Call and the Ambition Initiative Call respectively (i.e. one NSP Outline per Call).

A distinctive feature of the Ambition Initiative Call was the lack of successful NSP Outlines presented by national institutions / funds / banks as well as commercial entities (this group of organisations was allowed to participate

in the Call of the NAMA Facility for the first time as part of the Ambition Initiative Call). At the same time, 17 % of NSP Outlines were submitted by various types of national actors and entities, which was slightly more than those presented by bilateral development agencies (15 %).

Overall, the tendency suggests that Calls of the NAMA Facility might become increasingly attractive for UN organisations. This can be attributed to expanding institutional capacity and expertise to prepare and submit NSP Outlines. A lower rate of participation by national institutions can, on the contrary, be a sign of insufficient resources to meet increasingly complex information requests from the NAMA Facility (for more details please refer to Section 4 Lessons Learnt). Bilateral development agencies as well as international organisations and financial institutions remain key groups of applicants of the NAMA Facility, but for them too a trend towards a slight decrease in the number of NSP Outline submissions has been observed. All in all, the number of Outlines generally suitable for in-depth assessment and then DPP is decreasing, introducing the risk of no longer providing sufficient quality at scale to avail the funding committed.

Figure 10: Ambition Initiative Call –
Distribution of NSP Outlines at different assessment stages by type of applicants / ASP



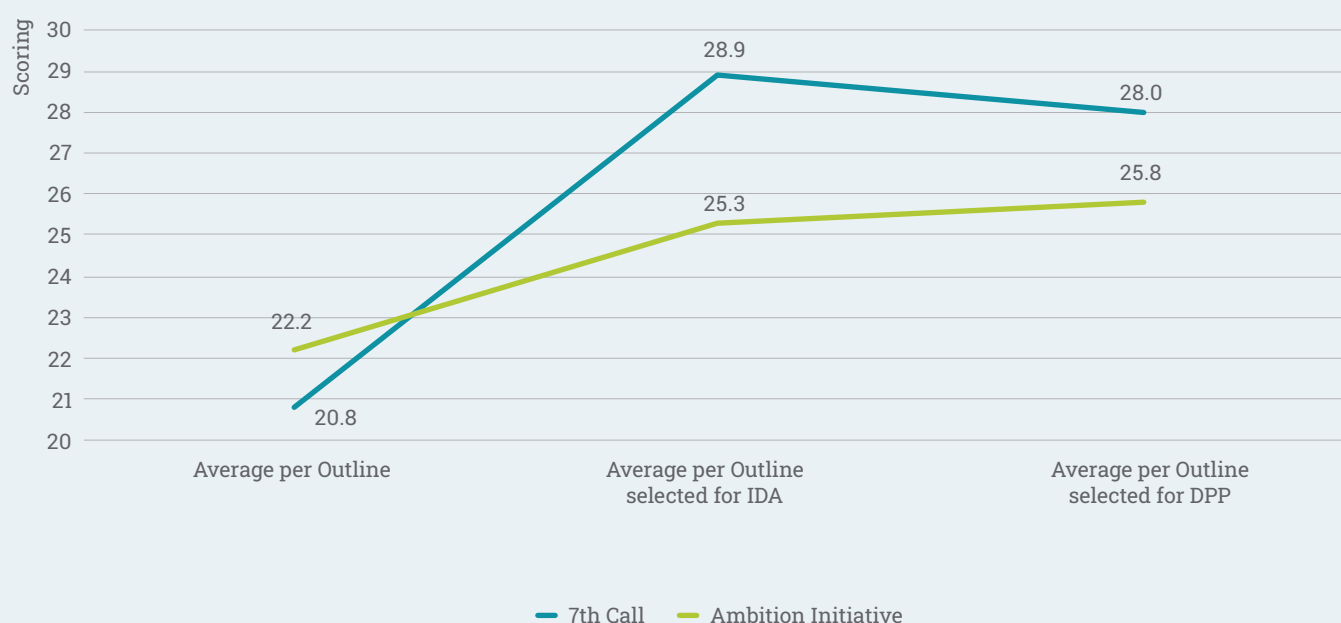
Quality of NSP Outlines

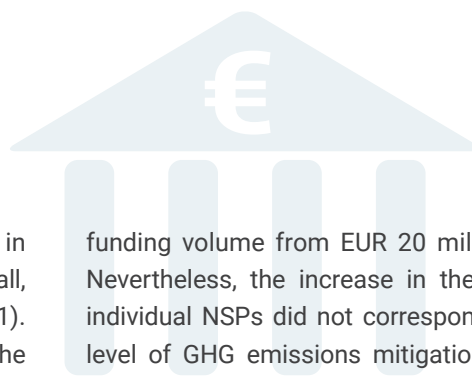
With 41 NSP Outlines received, the overall number of submissions in the Ambition Initiative Call was lower than in the 7th (58 NSP Outlines), 6th (51 NSP Outlines) and 5th (76 NSP Outlines) Calls. This could be attributed to the conceptual changes described above (sub-chapter 1.3.2), in particular, a clear requirement for countries to have their enhanced NDCs submitted to UNFCCC by the closure of the Ambition Initiative Call on 31 May 2021 in order for the respective NSP Outlines to be eligible under the Call. Additional factors such as the negative impacts from the Covid-19 pandemic and the fact that two successive Calls for NSP Outlines have been launched shortly one after the other might have hampered project development and / or limited the leeway times to prepare NSP Outline submissions between the 7th Call and the Ambition Initiative Call.

In particular, some potential applicants flagged challenges in prioritising their efforts against the backdrop of Covid-19-related restrictions and disruptions, the continuous work on NDC updates and the prospect of participating in other climate finance mechanisms running in parallel to the Ambition Initiative Call. The introduction of the NDC-related eligibility criteria has added an element of complexity. The related feedback from applicants has been that it has reduced the visibility on success chances they might have with their NSP Outlines as they had to decide themselves if the first updated or second NDCs would qualify as enhanced and ambitious and, thus, eligible.

In the Ambition Initiative Call, based on the cumulative assessment results by the TSU and the external assessors, eight NSP Outlines scored at least 25 points (i.e. above the threshold for consideration for an in-depth assessment) out of 50 points as a result of desk-based assessments. No NSP Outline was rated higher than 34 points at this stage (a decrease of 0.5 point in comparison to the results of the

Figure 11: Average scoring of NSP Outlines at different stages of NSP Outlines assessment / selection (7th Call vs. Ambition Initiative Call)





7th Call). In terms of in-depth assessments, an increase in scoring was observed as part of the Ambition Initiative Call, while in the 7th Call, the situation was reversed (Figure 11). This effect can be attributed to the fact that in case of the Ambition Initiative Call, a stronger focus on the alignment between the NDCs and NSPs could result in an overall higher level of readiness of applicants and their political partners which positively impacted in-depth assessments. On the other hand, in case of the 7th Call, a larger number of NSP Outlines selected for in-depth assessments and a higher level of diversity of applicants and sectors might have increased the risk of less apt in-depth assessments.

In terms of sectors, NSP Outlines targeting the sector of renewable energy, as with the previous Calls of the NAMA Facility, had the highest share among all submissions followed by agriculture, EE and transport.

The Ambition Initiative Call had a higher average volume of funding requested by the NSPs (Figure 12) which could be attributed to the increase in the eligible maximum

funding volume from EUR 20 million to EUR 25 million. Nevertheless, the increase in the funding requested by individual NSPs did not correspond to an increase in the level of GHG emissions mitigation potential, at least as demonstrated by the NSP Outlines selected for DPP (Figure 13). This effect might result from higher quality, more conservative estimates regarding GHG emissions reduction provided by the NSPs selected for DPP in the Ambition Initiative Call (which is seen positively and can be a result of the expanding body of supporting materials (podcasts, guidelines, etc.) that are prepared and disseminated by the NAMA Facility). Another factor could be that NSPs with piloting modalities tend to have a lower impact in terms of GHG emissions reduction against the volume of funding they request, but in the Ambition Initiative Call this effect only had rather limited influence as only one NSP with a piloting modality was selected for DPP.

As the Ambition Initiative – Round Two was only launched in November 2021, all related statistics and data will be reported as part of the Annual Report 2022.

Figure 12: Funding requested from the NAMA Facility – 7th Call vs. Ambition Initiative Call

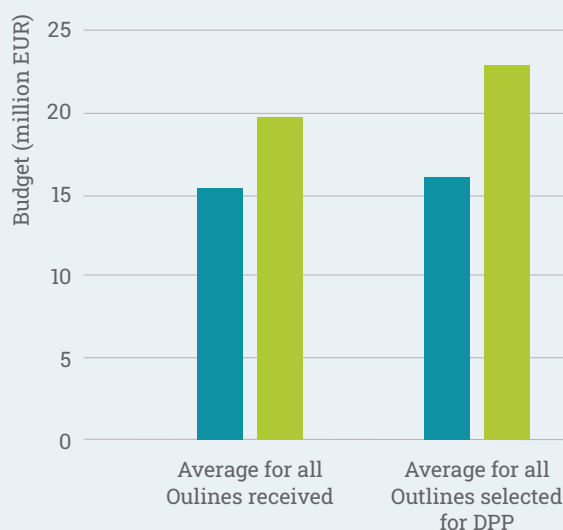
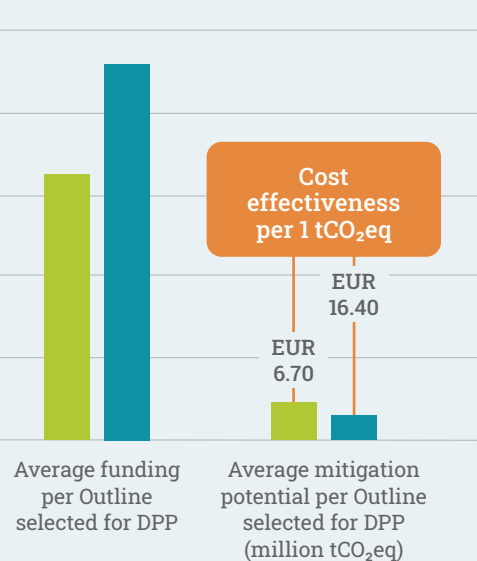


Figure 13: Comparison of the 7th Call and the Ambition Initiative Call in terms of funding requested and mitigation potential of NSPs in DPP



1.4 Knowledge Management and Communication

The knowledge management and communications workstreams are guided by two strategic documents: the NAMA Facility's Knowledge Creation Strategy and the NAMA Facility's Communications Strategy. The overarching objective of the Knowledge Creation Strategy is to ensure a targeted approach to collecting and disseminating experiences and lessons learnt, with a focus on the NSP level. The Communication Strategy specifically aims to highlight the NAMA Facility's efforts as an innovative, instrumental player in facilitating carbon-neutral development in developing countries and emerging economies. The target audiences for both workstreams include applicants, NSPs, the climate finance community and the broader public.

Both workstreams are connected. The knowledge management work seeks to extract lessons learnt like successes and pitfalls as well as achievements or activities from the NAMA Facility's work. Meanwhile, the communications work aims to package and disseminate the extracted knowledge as well as raise the profile of

the NAMA Facility, promote Calls for Projects and guide applicants throughout the Call process. The outputs of the Communications Strategy and the Knowledge Creation Strategy therefore constantly feed into each other, as seen in Figure 14 below.

In 2021, the TSU put emphasis on greater alignment and collaboration between knowledge management and communication with the aim to capture and disseminate lessons learnt from transformational mitigation actions, thereby contributing to an effective learning environment for each distinct target audience. A learning environment is effective if NSPs, the NAMA Facility Board and the TSU can make sense of factors contributing to project success vs. failure in an objective and transparent way to improve project quality over time. These learnings will not only help the NAMA Facility achieve its mandate but also contribute to learning in the wider climate finance community. The following activities driving this purpose were implemented in 2021:

Figure 14: Relationship between knowledge management and communications at the NAMA Facility

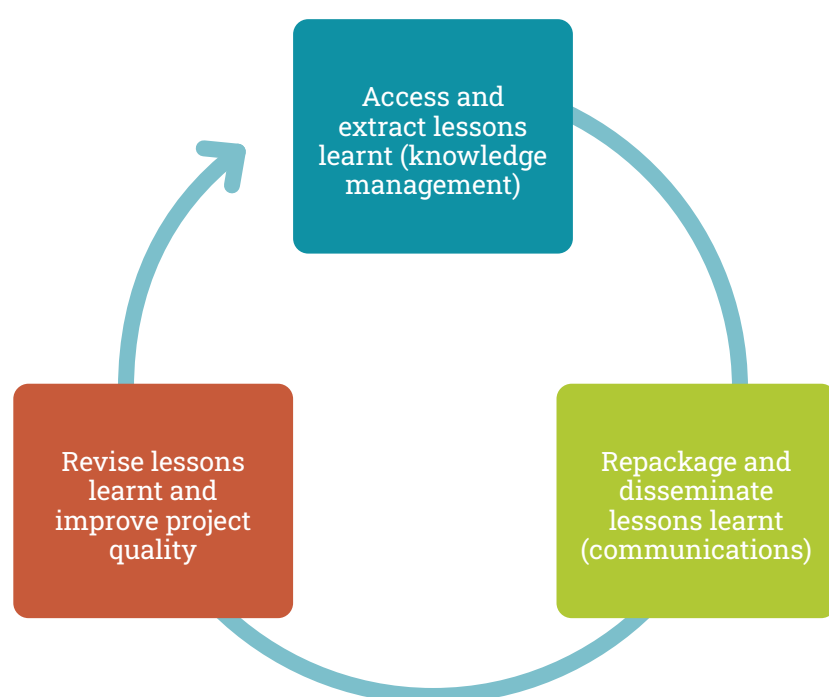
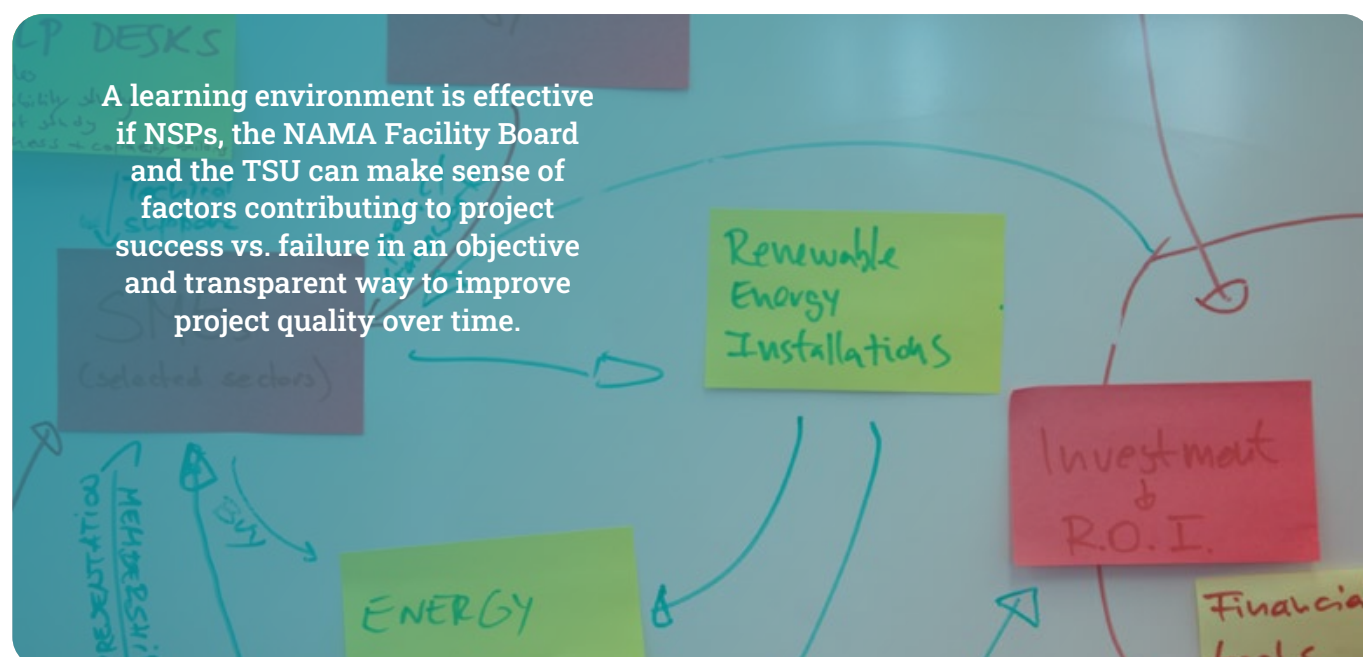


Table 2: Knowledge management and communications achievements in 2021

Theme	Achievements
Upstream support to applicants	<ul style="list-style-type: none"> ▪ 4 webinars hosted with around 50 – 100 live attendees or 132 virtual views each (as of December 2021) ▪ 11 Call-specific guidance documents (e.g. clarification notes, FAQs, Do's and Don'ts, Annex 6 Mitigation Potential and Annex 5a Business Case and Financial Mechanism Podcast) provided to 50 + potential applicants pre-selected by the Board for the Ambition Initiative Call and the Ambition Initiative – Round Two.
Continued participation in the global climate finance community's activities	<ul style="list-style-type: none"> ▪ Various engagements in international climate finance coordination mechanisms and knowledge platforms as well as active coordination with several climate finance and mitigation focused initiatives to raise awareness on the NAMA Facility and its Calls as well as raise ambition of climate action. Examples are the Transformational Change Learning Partnership (TCLP) as organized by the CIF and the "Climate Funds Collaboration Platform on Results, Indicators and Methodologies for Measuring Impact" organized by the GCF (amongst others, see example in text box). COP26 side event held with 20 + in person and 200 virtual views of the recording (as of December 2021), including the 30 + livestream viewers during the event.
High volume of resources & updates provided to network	<ul style="list-style-type: none"> ▪ 40 + news pieces published providing updates to the NAMA Facility network (as of December 2021) ▪ 80 + resources in the Knowledge & Learning section of the website to serve the needs and interests of target audiences (as of December 2021)
Growing online presence	<ul style="list-style-type: none"> ▪ + 8,000 profile visits and + 12,200 impressions on Twitter account in November 2021, coinciding with COP26 ▪ 529 total views on YouTube channel and an average of 132 views per video in 2021
Increased exchange among NSPs	<ul style="list-style-type: none"> ▪ 9 peer exchanges & 2 NSP virtual seminars: exchange with and among NSPs strengthened via newly established sectoral and thematic working group as (on EE, transportation, and financial mechanisms and financial management) as well as portfolio-wide NSP virtual seminars facilitated by the TSU

A learning environment is effective if NSPs, the NAMA Facility Board and the TSU can make sense of factors contributing to project success vs. failure in an objective and transparent way to improve project quality over time.



NAMA Facility engages in Climate Funds Collaboration Platform on Results, Indicators and Methodologies for Measuring Impact (CFCP)

In 2021, the NAMA Facility was actively represented in the meetings of the Climate Funds Collaboration Platform on Results, Indicators and Methodologies for Measuring Impact (CFCP) hosted by GCF. In addition to the NAMA Facility and GCF, other members of CFCP include Global Environment Facility (GEF), Climate Investment Funds (CIFs), and the Adaptation Fund.

Initiated in 2021, this exchange focused on identifying the differences and similarities across the participating climate funds in terms of monitoring, reporting, evaluation and other similar general topics. It was noted that such challenges as obtaining good quality monitoring data, its aggregation, and co-benefit management are rather common among the members of CFCP. In 2022, the group intends to tackle more specific topics and develop sub-groups accordingly. The potential sub-group topics include such aspects as gender mainstreaming, approaches to evaluation, the definition of co-benefits, and results management in the AFOLU sector. As these topics are highly relevant for the NAMA Facility, the TSU will continue its engagement with the CFCP in 2022.



1.5 Monitoring

The TSU focused on refining internal monitoring processes by improving data reporting structures of NSPs, data aggregation processes, data quality assurance and underlying methodologies of data collection (e.g. revising the NAMA Facility Logframe). In further detail, these processes include the following points:

Revision of the NAMA Facility Logframe

The need to revise the NAMA Facility Logframe arose as part of the revision of the Theory of Change (ToC) (see chapter 1.7 Transformational Change and Theory of Change). In response, the TSU introduced the NAMA Facility Board to the current NAMA Facility Logframe at the occasion of a workshop in October 2021, which was followed by further discussions on indicator, target and methodology revisions between the TSU and the NAMA Facility Board. This process will proceed and is expected to be finished in 2022.

Supporting the set up and improving existing monitoring processes at the level of individual NSPs

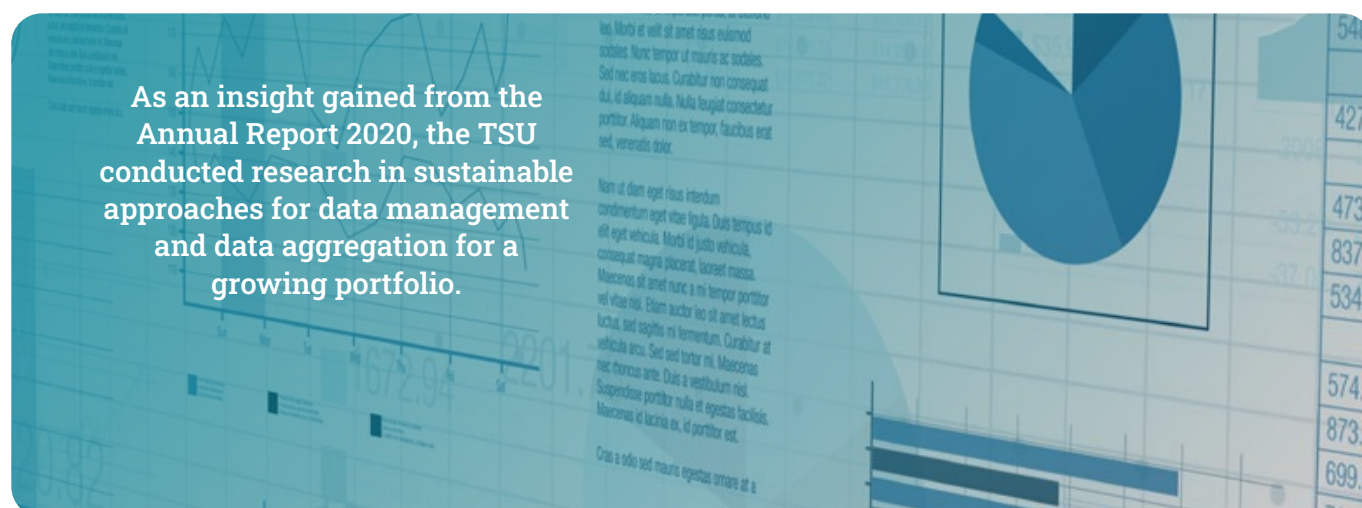
The TSU supports NSPs in their efforts to set up data collection and monitoring processes, as well as in continuous data collection. The TSU provided a guideline to NSPs to steer their Annual Reports 2021, building on the lessons learnt and common challenges faced by NSPs

when reporting on data. The TSU further introduced updates in the M & E plan to improve data accuracy on mandatory core indicators 4 and 5 and NAMA Facility indicators 4.1 and 4.2. The TSU organised an introduction, exchange and Q&A on data reporting for NSPs in November 2021. Furthermore, ongoing exchanges with new NSPs during the set-up of their M & E plans and with the older NSPs updating their M & E plans were undertaken throughout the year. Examples are Chile Renewable Energy, which was setting up its FC component, or Mexico SME Energy Efficiency and The Gambia Grid-Connected Solar, which were submitting operational M & E plans for the first time for the Annual Report 2021.

Data management

As an insight gained from the Annual Report 2020, the TSU conducted research in sustainable approaches for data management and data aggregation for a growing portfolio. As a first step, the TSU created a data mask based on MS Excel to establish automatic aggregation of NSP data at the portfolio level. The data mask was used for the first time in the write-up of the Annual Report 2021. To increase alignment of NSP data collection and data quality assurance throughout the NAMA Facility portfolio, the TSU conducted an internal training for its Desk Officers. Research on the set-up of a database solution will be concluded in 2022 with the goal of establishing an enhanced system that can be used as soon as possible.

As an insight gained from the Annual Report 2020, the TSU conducted research in sustainable approaches for data management and data aggregation for a growing portfolio.



1.6 NSP Evaluation and Learning Exercises

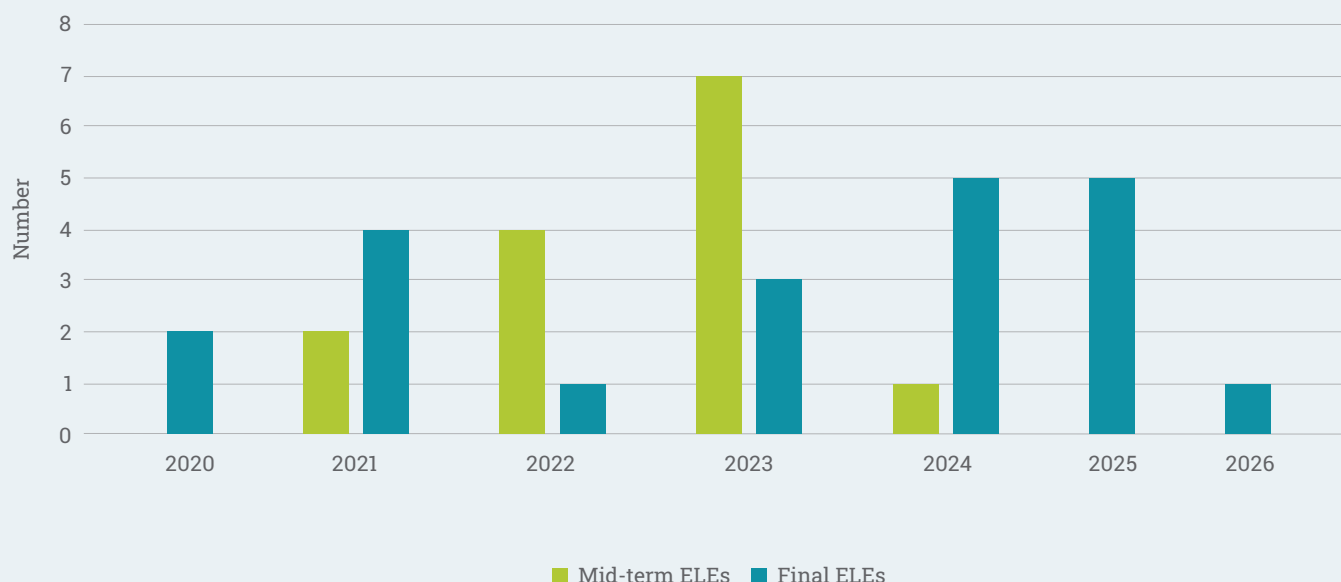
Six Evaluation and Learning Exercises (ELEs) were conducted:

- Final ELE of the Technical Cooperation Component of the Chile Self-Supply Renewable Energy NSP
- Mid-term ELE of the Technical Component of the China Integrated Waste Management NSP
- Final ELE of the Thailand Refrigeration and Air Conditioning NSP
- Mid-term ELE of the Thai Rice NSP (*final report pending and to be published in 2022*)
- Final ELE of the Peru Sustainable Urban Transport NSP (*final report pending and to be published in 2022*)
- Final ELE of the Financial Component of the Mexico Housing NSP (*final report pending and to be published in 2022*)

Additionally, the mid-term ELE of the Colombia Refrigeration NSP was initiated in 2021 but will be accomplished in 2022 only. As shown in Figure 15 below, the majority of the foreseen ELEs are yet to be conducted, with the number of mid-term ELEs set to surpass the number of final ELEs in the immediate future. However, it is important to note that the ELE planning is closely linked to the overall progress of NSPs and hence it might need to be adjusted further. ELE planning is done on a bi-annual basis.

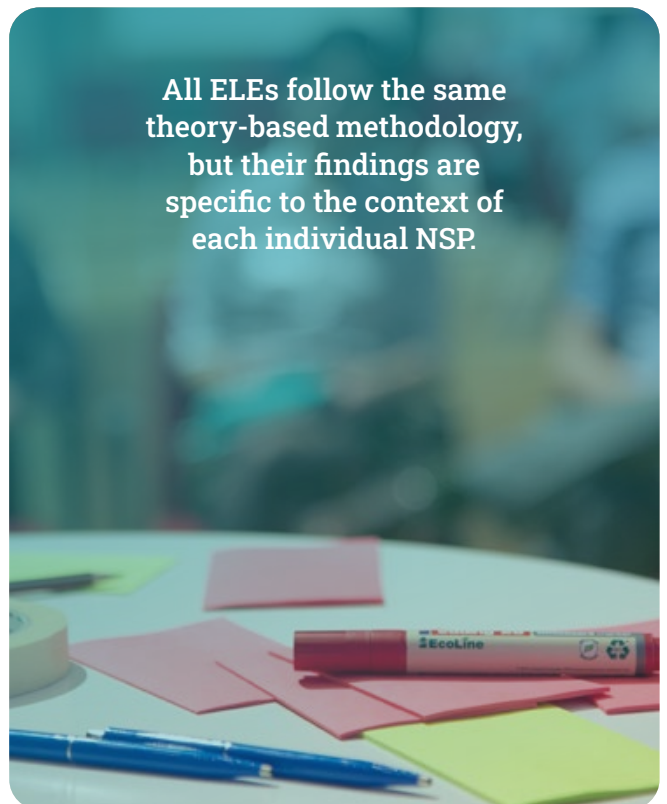
All ELEs follow the same theory-based methodology, but their findings are specific to the context of each individual NSP. A meta study will be commissioned by the NAMA Facility in 2022 to identify overarching, reoccurring findings to better understand the common challenges and learning opportunities stemming from the implementation of NSPs. The external ELE consulting team consisting of Ambero Consulting GmbH and Oxford Policy Management, the TSU and the NAMA Facility Board have discussed the potential scope of this meta study in late 2021. Further discussion and agreement on the specific focus of the meta study will take place in 2022. While more findings on the common features among the finalised ELEs will be delivered by this meta study, some preliminary insights can already be observed, based on the available ELE reports:

Figure 15: ELE distribution over time



- **Technical Assistance (TA) is essential for the successful implementation of the FC component.** Five out of six ELEs discuss this aspect emphasising the importance of TA efforts directed at financial institutions, investors, and end-beneficiaries to improve their knowledge of the features of the NSP interventions. The ELEs claim that sufficient TA is crucial for achieving a timely buy-in from the relevant stakeholders.
- **All six NSPs portrayed a high level of relevance** in terms of their alignment with public and private sector needs. According to the ELEs, they were well-aligned with respective government priorities, including national sectoral policies and NDCs. However, the ELEs revealed a somewhat mixed picture when it comes to satisfying private sector needs. Some ELEs found evidence of a rather successful engagement and support to private sector stakeholders (e.g. Thailand Refrigeration and Air Conditioning ELE, Mexico Housing ELE, Chile Renewable Energy ELE). Other ELEs hinted at a complicated set-up, where the proposed NSP interventions and / or business models were not readily subscribed to by the targeted stakeholders (e.g. Thailand Rice ELE). Another observation was that the private sector involvement was deemed insufficient in the overall NSP design (e.g. Peru Transport ELE).
- **Most of the evaluated NSPs performed inefficiently.** According to the ELE methodology, efficiency is defined as the NSP's ability to deliver the foreseen outputs in time and in sufficient quality. It was observed that a vast majority of the NSPs experienced delays, which have hindered their ability to deliver outputs to a full extent. Among the most common causes for delays, the ELEs cited lengthy and bureaucratic negotiations with local implementing partners, challenges linked to the Covid-19 pandemic and external events (e.g. droughts). Additionally, a lack of TC and FC components overlap, coupled with difficult exchange and handovers between the components, was found to further impede the NSPs' ability to deliver their intended results. Finally, the ELEs hinted at the lack of coordination as another potential cause for low efficiency. As NSPs operate in multi-stakeholder environments, stakeholder coordination is essential. Unfortunately, this is often more complex than anticipated given the changing political environments and market conditions.
- ELE findings suggest that **the sustainability of NSP interventions could be improved.** The causes for such weaknesses include lower-than-planned rollout of technologies promoted by NSPs, the lack of overlap between the FC and TC components and external factors such as changes in political commitment. ELEs suggest that the sustainability of NSPs could be improved by the timely delivery of NSP outputs, partnership building, and ensuring maximum overlaps and / or smooth handover between the FC and TC components.
- **Strengthening learning and knowledge management practices are important.** The majority of ELEs cited rather limited opportunities and / or initiatives taken by NSPs to share their lessons. The establishment of knowledge management systems or platforms accessible to multiple stakeholders was a recurring recommendation throughout the ELEs. According to ELEs, it would help NSPs improve their outreach and communication efforts and secure better stakeholder engagement. The ELEs have also encouraged the TSU to further strengthen its role in promoting the sharing of key lessons across NSPs.

All ELEs follow the same theory-based methodology, but their findings are specific to the context of each individual NSP.



1.7 Transformational Change

Achieving transformational change serves as an integral part of each individual NSP and represents one of the key goals for the NAMA Facility. Since 2020, insights on transformational change have been collected as part of ELEs.

In 2021, the ELE team introduced a *Transformational Change Framework* to expand and update the overall Theoretical Framework governing the ELEs. The introduced framework is based on the overall NAMA Facility Theory of Change (ToC) and the NAMA Facility's definition of Transformational Change⁶.

The newly introduced framework aims to operationalise the NAMA Facility's ToC by providing guidance for identifying the signals or evidence of NSP-induced transformational change. The framework introduces three dimensions of transformational change that break down the pathways of how NSPs can achieve their impacts as specified in their respective ToCs:

- **Dimension 1 seeks to capture whether an NSP has contributed to transformational change by producing a demonstrational effect and learning process.** This dimension relates to Output 3 in the NAMA Facility ToC and the NAMA Facility Learning Strategy. By mid-term project implementation, NSPs are expected to show interim signals of achieving a demonstrational effect and promote learning, which become clear evidence (advanced signals) by the end of implementation.
- **Dimension 2 focuses on whether a catalytic effect has been caused by an NSP.** This dimension is based on Outputs 2, 4 and 5 of the NAMA Facility ToC and Mandatory Core Indicators M3, M4 and M5. By mid-term project implementation, NSPs are expected to have produced early signals of one or more of these changes, which by the end of implementation would be observed as interim signals.

- **Dimension 3 is linked to the outcome in the NAMA Facility ToC and Mandatory Core Indicator M1.** It implies that the NSP has resulted in additional, large-scale and sustained GHG savings. Within the lifetime of the project, NSPs are not expected to have achieved this. Yet, by the end of the NSP, there should be signs that this is likely to occur.

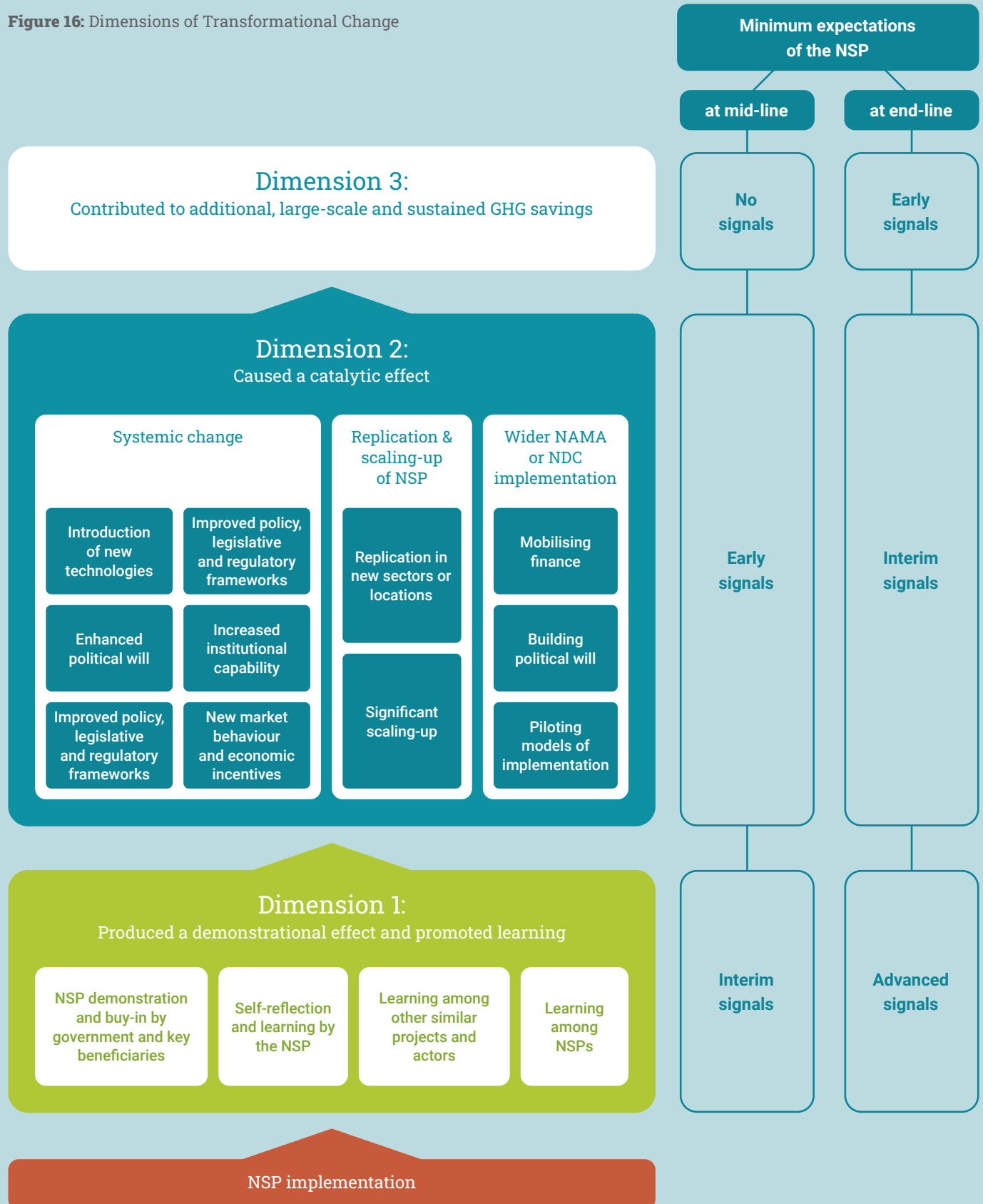
The dimensions are illustrated in the Figure 16 below.

The framework has been piloted in the three ELEs that took place in the second half of 2021. Two out of these three ELEs found that the NSP results were aligned with the expected performance and the strength of signals as indicated in the framework. For instance, ELEs observed advanced signals of demonstrational effects and learning (Dimension 1) in a final ELE, while confirming the early signals of catalytic effect in a mid-term ELE (Dimension 2). This includes observing evidence of the demonstration of low carbon housing technologies in different climate zones as well as increased SME awareness on financial mechanisms ensured through TA measures (advanced signals in Dimension 1). An example of an early signal for Dimension 2 would include observing early signals of changing market behaviour and practices, as well as increasing buy-in from the relevant stakeholders in a sector relevant to the NSP.

It is important to note that the findings of the transformational change evaluation are closely linked to the overall NSP performance, which is captured through other ELE criteria (e.g. the effectiveness, efficiency, sustainability, etc.). These more overarching findings are presented in Chapter 1.6 above.

Additionally, while the framework includes the scaling and replication concepts under Dimension 2 as part of capturing the catalytic change, rather limited observations have been available on this topic so far. It is foreseen to strengthen the ELE research into these aspects, ensuring more data is collected on the extent of scaling and replication of NSPs that would help achieve transformational change.

⁶ The NAMA Facility defines Transformational Change as "Catalytic change in systems and behaviours resulting from disruptive climate actions that enable actors to shift to carbon-neutral pathways".

Figure 16: Dimensions of Transformational Change

The factors that influence NSPs' pathways towards reaching transformational change will be investigated further as part of the ELE meta-study previously mentioned. Since this study will be carried out in 2022, further insights on this topic should be available in the next Annual Report.

Theory of Change (ToC)

In parallel to the further evolution and specification of the concept of transformational change, the NAMA Facility Board mandated the TSU to revise the NAMA Facility Theory of Change (ToC). The revision was prompted by the 2nd Interim Evaluation of the NAMA Facility that took place in 2020. The evaluators analysed the overall NAMA Facility ToC and provided the following recommendations:

- Creating a ToC narrative which provides further description and explanation of the assumptions underpinning the ToC / its causal pathways;
- Reverting to separating out NAMA Facility activities by programme-level activities from NSP-focused activities;
- Reviewing the activities to ensure they accurately reflect the ambitions of the NAMA Facility and 'unique added value' of the NAMA Facility (i.e. TSU support and feedback, the nimble decision-making and cooperation between the NAMA Facility Board);

- Similarly, reviewing the outputs to check that they sufficiently reflect the NAMA Facility's current transformational change strategy; and
- Amending the wording of the impact statement.

The TSU used these recommendations to guide the ToC revision. Throughout 2021, a series of internal discussions and workshops were held, providing regular updates to the NAMA Facility Board. This endeavour culminated in a half-day workshop held in October 2021 where over 20 participants, including representatives of the NAMA Facility Board and the TSU, discussed the new ToC. As the ToC is operationalised through the NAMA Facility Logframe, supporting logframe changes are to be implemented in 2022 to reflect the new ToC (see [Chapter 1.5](#) for more details).

The updated ToC includes more accurate inputs, revised activities (split into programme-level, project-level and cross-cutting activities), slightly reformulated outputs, outcome and impact statements. A final draft of the revised ToC was compiled by the end of 2021 and an approval by the NAMA Facility Board is expected in early 2022. Once this approval is granted, a concomitant narrative explaining the key assumptions and the underlying causal pathways will be compiled. An accompanying update of the NAMA Facility Logframe to improve the accuracy of monitoring indicators and its alignment with the revised ToC have been initiated and are expected to be completed in 2022.

Throughout 2021, a series of internal discussions and workshops were held, providing regular updates to the NAMA Facility Board.



1.8 Technical Support Unit (TSU)

1.8.1 Staffing

In 2021, the TSU team kept growing and focused efforts on:

- Assessing NDC updates in the context of the Ambition Initiative Call and the Ambition Initiative – Round Two;
- The growing number of ELEs in a maturing portfolio to be managed by the TSU;
- The impacts of the Covid-19 pandemic across the NAMA Facility portfolio; and
- Updating the NAMA Facility's ToC as well as the NAMA Facility Logframe.

Looking ahead to 2022, additional external services will primarily be sought in the area of data management systems to allow for increased monitoring capacities. Mid-term contracts for communications, mitigation as well as financial mechanisms assessment will continue as planned and are not anticipated to require adjustments in the foreseeable future.

Finally, concerning the impacts of the Covid-19 pandemic on the work of the TSU, the TSU can gladly confirm that only a small number of TSU staff has been infected in 2021 and with relatively mild symptoms. The TSU staff has worked for the full year from home with some minor exceptions. Contrary to other work areas, the management of the NAMA Facility appears to be rather well-suited for this type of remote work, as no major disruptions, delays or other shortcomings have arisen.



1.8.2 Internal Sustainability Guidelines

To demonstrate its commitment to environmental sustainability, the TSU developed its internal sustainability guidance in 2018 with the aim to conserve resources and protect the environment while pursuing its activities. In addition, and as the TSU staff is employed by GIZ, the TSU follows the GIZ corporate sustainability culture and principles, and engages in the most resource-efficient and environmentally-friendly behaviour possible.

Regarding mobility, TSU staff opts for trains and public transport when travelling domestically. All travels by flight should be justified (e.g. trips for on-site assessments) and business class flights avoided. Preference is given to sustainable airlines and direct daytime flights guided by the principles of economic efficiency and environmental compatibility. Wherever possible, trips are also combined, for example, when two or more on-site assessments are to be conducted in the same geographical area. Since the 4th Call, the TSU assesses its CO₂ emissions generated by flights related to on-site assessments. In the 4th Call they amounted to around 22 tCO₂, in the 5th Call they added up to around 13 tCO₂ and in the 6th Call totalled around 48 tCO₂. For the 7th Call as well as for the Ambition Initiative Call, all in-depth assessments were conducted remotely in a virtual format due to Covid-19 pandemic-related restrictions. In the reporting period, there was only one case of international travel with a CO₂ footprint of 956.34 kg which was offset according to GIZ climate management policy. GIZ has been offsetting its domestic GHG emissions since 2013 and its emissions outside Germany since 2020 by supporting climate action projects in LDCs. During their travels, the TSU staff favours sustainable accommodation.

Additionally, the GIZ, which ensures all travel arrangements of the TSU staff, has demanded from its domestic travel service provider to sign The Code initiative, thus committing to zero tolerance against sexual abuse of children throughout the entire supply chain.

Furthermore, the TSU is dedicated to the efficient and sustainable use of resources. The latter covers saving paper, energy, sustainable event management, among others. All office waste is properly recycled.

2

Outcome Assessment



“Outcome: The NAMA Facility demonstrates that climate finance can effectively catalyse transformational change in countries – including implementation of NDCs – reduce greenhouse gas emissions and enhance carbon-neutral development”.⁷

The NAMA Facility strives to achieve a transition towards carbon-neutral societies in line with the 1.5 degrees Celsius objective, supported by NSPs in their targeted countries. As a tangible outcome, the NAMA Facility aims to demonstrate that climate finance can effectively catalyse transformational change in countries – including implementation of NDCs – reduce greenhouse gas emissions and enhance carbon-neutral development. The NAMA Facility outcome is supported by five outputs.

Summary of achievements for outcome indicators

The NAMA Facility’s outcome is measured by assessing three mandatory core indicators on the topics GHG emissions reduction, people benefitting from NSPs and NSPs achieving transformational change. With **6.6 million tCO₂e GHG emissions reduction reported by NSPs**, the target on GHG emissions reduction has been overfulfilled by 45.2 % in 2021. With **19.7 million people benefitting from NSPs**, the target has been overfulfilled by 13.4 %. The reported outcomes achieved have increased significantly between 2018 and 2021. The qualitative assessment of the achievements of NSPs to spur transformational change has shown positive results, with a majority of NSPs reporting to achieve the anticipated impact for 2021.

Overall findings

Various trends appear to be evident when examining the portfolio of NSPs on outcome and output levels. Firstly, **most outcome and output indicators are overachieved** when comparing achievements to set targets for 2021, in **various cases even drastically overachieved**. Examples

are Outcome indicator 1 (M1) on reported GHG emissions reduction with an overachievement of 45 %, Output indicator 2.1 (M4) on reported mobilised public finance with an overachievement of 73 % or Output indicator 2.2 (M5) on mobilised private finance with an overachievement of 49 %.

Achievements below expectations can be seen in the output indicators of Output 1 “The NAMA Facility is effective and efficient in catalysing transformational mitigation action to implement NDCs”. These output indicators include one indicator on call management. Due to the newly introduced NDC eligibility criteria for applicants in the Ambition Initiative Call, the achieved result for this indicator is lower than the target for the first time since 2013. Additionally, these output indicators show **challenges in terms of long timelines between selecting NSP Outlines and approving NSPs** for Implementation (these timelines include various steps, such as contracting, DPP, due diligence check, proposal assessment etc.), leading to overall delays. And further **challenges in terms of having NSPs approved for Implementation into full and operational implementation** with corresponding disbursements of funds.

When examining NSP reporting, a few overall patterns appear to be evident across the portfolio:

- **The majority of the results of the indicators, which are based on quantitative NSP data reporting, are mostly due to achievements of two to three NSPs in 2021.** As 82 – 95 % of the results of all quantitative m-indicators (M1, M2, M4, M5) are based on the reporting of merely two NSPs each. The **most influential NSPs in 2021 are China Waste Management, Thailand Refrigeration and Air Conditioning and Mexico Housing**. The

As one of the founders of the Facility we are pleased to see the impact of nearly a decade of climate action. The NAMA Facility has established a strong track record in delivering transformational mitigation projects in a way that cultivates strong local ownership and increases access to climate finance to all ODA-eligible countries.

Waqas Batley, Head of Climate Finance –
Multilateral Institutions, UK Board Member

7 The NAMA Facility’s Theory of Change Outcome statement

background of this pattern appears to be that the NAMA Facility portfolio is relatively young with many NSPs in early stages of Implementation that report low values in comparison to NSPs in later stages of Implementation. NSPs in later stages of Implementation tend to report higher values. This is because values are counted cumulatively in all quantitative m-indicators, hence the overall results of all reporting years for each NSP are counted. It is, however, important to mention that NSPs with lower targets for indicators tend to influence the overall portfolio achievement to a lower degree. One example is Costa Rica Coffee in outcome indicator 2 (M2): while this particular NSP heavily surpassed its target for M2 (by 64 %), the influence of the overachievement is minor at the portfolio level (only 0.05 % of the overall values that have been reported on by NSPs), as its targets – based on sector and country specifics – are low in comparison to other NSPs. Similarly, the level of success of NSPs with comparatively high target values over-proportionally impacts the overall portfolio achievement of an indicator. The percentages of achievements per NSP per m-indicator are displayed in the attached NAMA Facility Logframe overview sheet.

- **Most challenges reported by NSPs are due to delays in Implementation**, leading to achievements below the targets. This pattern can be seen concerning results for Outcome indicators 1 (M1), 2 (M2) and 3 (M3) and also Output indicators 2.1 (M4), 2.2 (M5), 2.3 and 5.2.

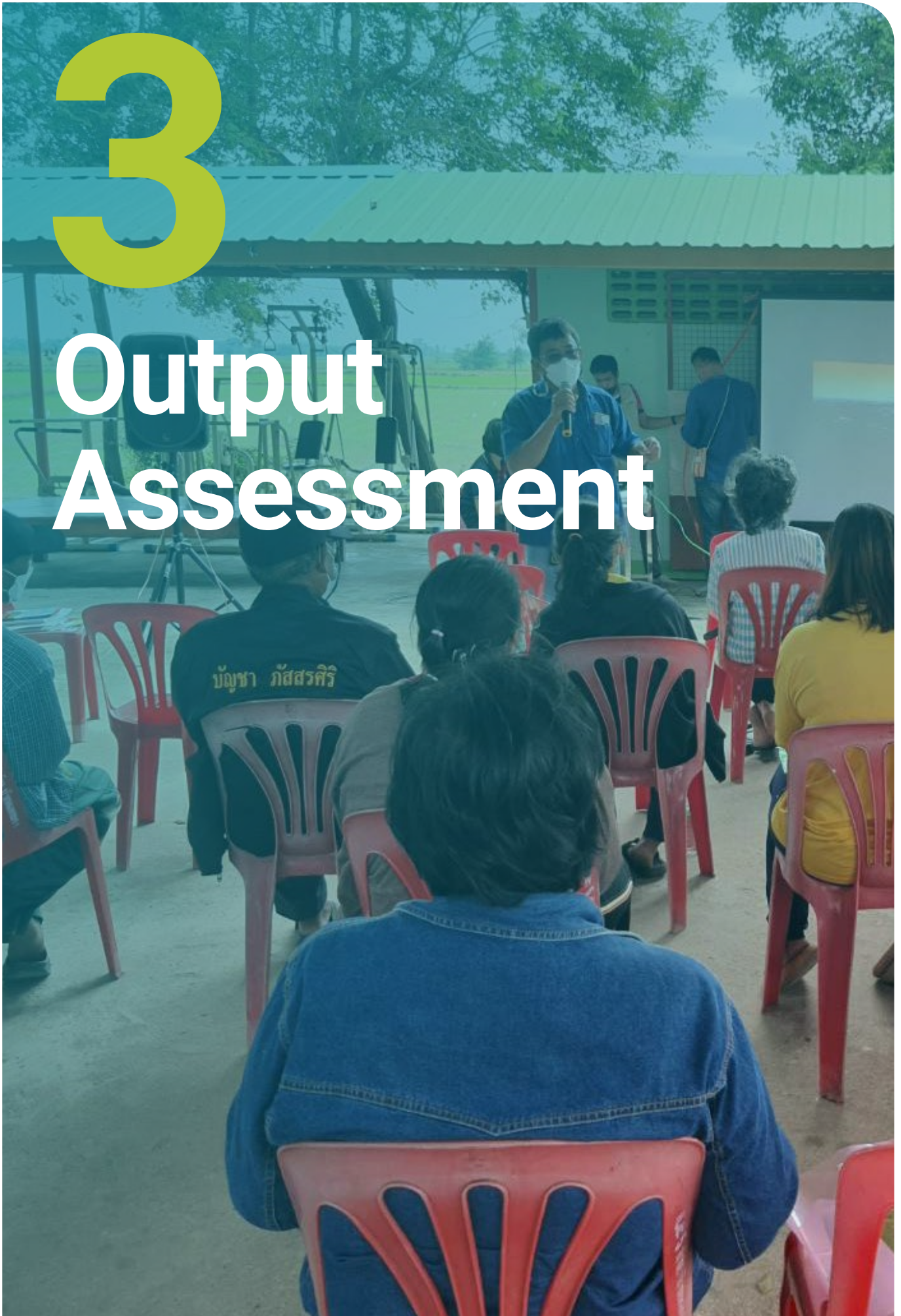
- Some NSPs in later stages of Implementation report on **challenges due to a lack of uptake of financial products or shortcomings in their financial mechanisms**. This pattern can be seen in Outcome indicators 1 (M1), 2 (M2) and 3 (M3) and Output indicator 2.2 (M5).
- **NAMA Facility reporting requirements were developed and updated step by step between 2013 and 2021.** The M & E and reporting requirements of various NSPs of Calls 1 – 3 have been updated. However, various foundations of reporting remain different in comparison to NSPs of later Calls. Examples are Peru Transport, reporting on the wider NAMA framework, Chile Renewable Energy splitting TC and FC implementation or China Waste Management, which is implementing without an FC component.
- **The development of the portfolio could change significantly in the upcoming years with a maturing portfolio.** There appears to be a trend that most NSPs report high values in late stages of Implementation, while very low or no values are reported in early stages of Implementation (see M1 and M5). One could get the impression that this trend appears to be different from most NSPs planning, as most NSPs expect a linear development of results, in reality, however, it seems that most achievements appear in late stages of Implementation. These patterns can be seen in outcome indicator 1 (M1), 3 (M3) and output indicator 2.2 (M5).



Four years of climate action for sustainable housing in Mexico (Mexico Housing NSP).

3

Output Assessment



The NAMA Facility has five outputs which form a crucial part of the NAMA Facility's Theory of Change (for more in-depth information see [chapter 1.7](#)).

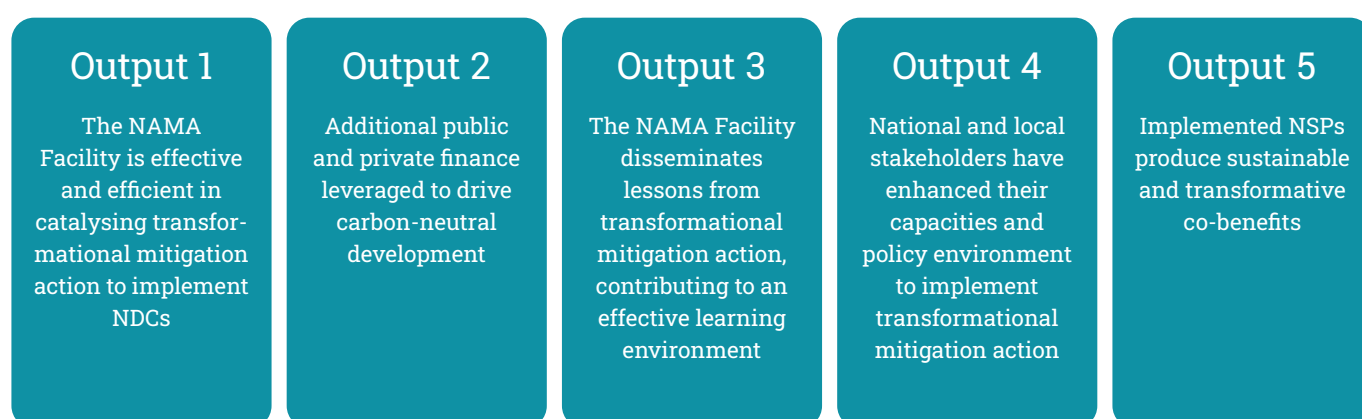


Figure 17: NAMA Facility outputs as approved by the NAMA Facility Board at the end of 2021

Output achievements

Overall, **the NAMA Facility achieved almost all targets of output indicators for 2021**. It needs to be mentioned that several indicators have been recently revised; therefore, they are not fully reported on due to the ongoing collection of data. For a full overview, please refer to Table 3.

Achievements below expectations are currently only reported in Output 1 (The NAMA Facility is effective and efficient in catalysing transformational mitigation action to implement NDCs). The targets missed under Output 1.1 can be attributed to the newly introduced NDC eligibility criteria for applicants under the Ambition Initiative Call concluded on 31 May 2021. The fact that the Call was only open to NSP Outlines from the countries that would submit their sufficiently enhanced and ambitious first updated or second NDCs to UNFCCC until 31 May 2021 appears to negatively impact the willingness of potential applicants to invest time and effort in developing NSP Outlines.

It should be noted that against this background, the result under Output 1.2 could still be considered a success. When only the criteria of formal eligibility are taken into consideration (i.e. non-eligibility based on NDC-related criteria is not accounted for), the percentage of eligible NSP Outlines under the Ambition Initiative Call was comparable to the previous four Calls of the NAMA Facility and higher than the target defined for 2022.

The missed target in Output indicator 1.3 indicates a challenge in the timely approval for the implementation of NSPs (in case of a favourable NSP Proposal assessment) and the timely spending of the NAMA Facility funding. In particular, delays under Output 1.3 can be attributed to (1) delays in contracting of the selected NSPs for a DPP (e.g. due to extensive contract negotiations), (2) durations of the DPPs themselves (up to 18 months in Calls 4 – 5, and 10 or 15 months starting from the 6th Call) and further delays during the DPP occurring on the NSPs' side (e.g. due to Covid-19-related restrictions which have become a significant challenge in 2020 and 2021), (3) prolonged timelines for conducting due diligence of NSOs at the NSP Proposal assessment stage (e.g. due to non-provision of the necessary data by potential NSOs, etc.), (4) delays in contracting the external assessors at the NSP Proposal assessment stage (e.g. for a financial plausibility check).

In case of Output indicator 1.4, delays related to the specification of financial mechanisms of NSPs selected for Implementation as well as overall prolonged contracting timelines might serve as the main reasons for underperformance.

Table 3: Overview of the status of target achievements for NAMA Facility outputs in 2021

Output Indicators

Output 1

- | | |
|-----|--|
| 1.1 | Number of country Calls |
| 1.2 | Percentage of eligible NSPs in Calls |
| 1.3 | Percentage of NSPs approved within 18 months |
| 1.4 | Percentage of approved funding disbursed to NSPs |

Output 2

- | | |
|-----|---|
| 2.1 | Volume of public finance mobilised for low-carbon investment and development (M4) |
| 2.2 | Volume of private finance mobilised for low-carbon investment and development (M5) |
| 2.3 | Ratio of public, private and co-funding mobilised versus NAMA Facility funding provided |

Output 3

- | | |
|------|---|
| 3.1 | Development of knowledge products & sharing activities |
| 3.1a | Number of knowledge products published |
| 3.1b | Number of knowledge-sharing activities conducted |
| 3.2 | Engagement on different channels |
| 3.2a | Number of engagements by communication channel |
| 3.2b | Number of individuals attending a knowledge-sharing event |
| 3.3 | Satisfaction rate of NAMA Facility audience |
| 3.3a | Percentage of respondents considering knowledge products and sharing activities as valuable |
| 3.3b | Examples of use / added value of knowledge products (based on qualitative data) |

Output 4

- | | |
|-----|---|
| 4.1 | Number of low-carbon policies, regulations or standards adopted or amended due to NSP support |
| 4.2 | Number of national or local institutions having received TA |

Output 5

- | | |
|-----|--|
| 5.1 | Number of NSPs completed according to the approved project outcome |
| 5.2 | Percentage of NSPs with operational M & E plans |
| 5.3 | Number and type of mitigation co-benefits |

4

Lessons Learnt



The NAMA Facility encourages learning at all levels. However, the focus of this chapter will be on lessons learnt at the NAMA Facility level. For reference, lessons learnt from the 7th Call and the Ambition Initiative Call as well as the resulting changes in the Call management process are outlined in sub-chapters [1.3.2](#) and [1.3.4](#).

The Final Report on the 2nd Interim Evaluation of the NAMA Facility published in February 2021 reconfirmed the relevance and effectiveness of the NAMA Facility. Various valuable lessons have been gained from the experience made both on the portfolio level of the NAMA Facility as well as in individual NSPs. A complete analysis can be found in the [final report of the NAMA Facility 2nd Interim Evaluation and Learning](#), whose findings were shared and discussed with relevant stakeholders. Highlighted below are some selected key actions that have been triggered by the evaluation's key recommendations in the course of 2021:

- The NAMA Facility's Communication Strategy and a related action plan have been updated and additional TSU staff as well as external consultants have been hired to further increase stakeholder awareness of its unique and added value and reinforce its function to serve as a knowledge and learning hub;
- The NAMA Facility Board, together with the TSU, have embarked on a process that will be accomplished in 2022 to update the NAMA Facility's Logframe as well as the NAMA Facility ToC to better reflect its added value and relevance (see also [1.5](#) and [1.7](#), respectively); and
- Efforts to increase the diversity of implementers and increase the speed of delivery of NSPs selected have been reinforced. For example, the eligibility of commercial entities has been clarified and sample grant agreements that the NFGA uses will be published under the ongoing Ambition Initiative – Round Two.

With approximately one Call for NSPs launched per calendar year since 2013, the NAMA Facility has always been keen to monitor how the interest in NAMA Facility funding develops over time. Both the number of NSP Outlines received as well as the diversity of the topics covered are valuable indicators to gauge how climate finance project development evolves.

Concerning the NSP Outlines received and particularly those assessed as eligible, the Ambition Initiative Call demonstrated smaller numbers compared to those under previous Calls. As indicated in [sub-chapter 1.3.4](#), three factors impede the comparison of figures in 2021 with those of previous years: effects of the Covid-19 pandemic, new NDC-related eligibility criteria specific to the Ambition Initiative Call and having two NAMA Facility Calls closely following one another. To allow for a high number of future NSP Outlines to be received, it remains important to limit the complexity and requirements established under future Calls. The more complex the eligibility criteria and material expectations, the higher the risk that both the quantity and the quality of NSP Outlines received will decrease. As mainly smaller and less experienced applicants struggle to comply with additional requirements, this can have a direct impact on the diversity of the NAMA Facility portfolio in terms of sectors and applicants represented.

Concerning the diversity of topics addressed by NSP Outline submissions under the Ambition Initiative Call, it is striking that two out of four NSPs selected for DPP focus on aspects of electric mobility⁸. Another aspect that is worth highlighting is that one of the NSPs selected for DPP under the Ambition Initiative Call, 808 Costa Rica Green Hydrogen, has become the first project in the NAMA Facility portfolio to engage with green hydrogen via a "piloting modality". It remains to be seen how well this additional modality can fulfil its purpose to kick-start new technologies. Observations based on the incipient stages of the DPP of Costa Rica Green Hydrogen suggest that more complexity has been added and more conceptual considerations must be taken into account, at least initially. However, it is too early to draw any firm conclusions. The NAMA Facility has expressed its readiness to support this NSP with flexibility to fully explore the potential of the piloting modality.

8 Find names of NSOs and links to NSP descriptions on the NAMA Facility website.

More generally, the introduction of the Ambition Initiative Call has demonstrated the determination of the NAMA Facility Board to support the raising of climate ambition in the context of NDC updates leading to COP26. While it is not possible to present hard evidence that the Ambition Initiative Call has directly triggered more ambitious NDCs, some anecdotal evidence has been informally shared by applicants. They indicated that this has actually been the case and that NDC submissions by countries have also been fast-tracked to allow for NSP Outlines to become eligible under the Ambition Initiative Call. The NAMA Facility Board has reaffirmed its commitment to the approach of the Ambition Initiative Call with the launch of the Ambition Initiative – Round Two at the COP26 in Glasgow in November 2021, providing funding of EUR 100 m for additional NSPs.

Since the first Call of the NAMA Facility until the end of 2021, 19 NSPs were approved for Implementation and further 17 NSPs from the 5th to 7th Call and the Ambition Initiative Call were approved for the DPP. Based on the continuously growing portfolio of NSPs and a growing number of ELEs established in 2021, key reoccurring and overarching lessons learnt from individual NSPs can be summarised as follows:

- The approach of the two-phased entry into Implementation of NSPs introduced in 2019 has shown some first impacts. While additional process steps for NSPs, the TSU and the NAMA Facility Board are required, the need to quickly advance into full implementation of the NSPs has been underlined. In 2021, after experiencing some delays, Cabo Verde Electric Vehicles was the first NSP to reach this milestone and presented their Implementation Phase 1 report and was approved to move on into the Implementation Phase 2. First experience shows that there is an additional effort required when it comes to planning staff and consultancy contracts, and especially the former could be difficult. The feedback received from other NSPs selected under previous Calls showcases that they would have found this approach helpful as it might have accelerated negotiations with implementing partners as well as the private sector;
- As mentioned above, the introduction of the restrictive eligibility criteria of enhanced NDC ambition under the Ambition Initiative Call might prevent a comparative analysis regarding the quantity and quality of NSP Outlines received under this Call and previous ones. Nonetheless, the concern remains that potential applicants or partner governments have insufficient human and financial capacities to develop projects up to a level that would allow successful competition at the NSP Outline stage. In addition, the higher funding volume requested by the applicants in the NSP Outlines did not lead to higher ambition in terms of average GHG emissions reduction potential (Figure 14 and Figure 15);
- NSPs from the AFOLU sector continue to face difficulties to successfully compete with NSPs from other sectors. The NAMA Facility has gathered lessons learnt from the portfolio and insights on how to best address reoccurring issues in project development. They have already been shared as part of publications and will be further disseminated in the context of a webinar scheduled for the run-up to the Ambition Initiative – Round Two in spring 2022;
- Timely contract conclusion between the NFGA and NSOs remains challenging, with progress achieved when it comes to the DPP contracts but continued delays with two NSPs (Guatemala Cookstoves and Brazil Beef), which have not yet advanced into implementation. In the future, more pre-visibility of contractual provisions required by the NFGA will be allowed with the publication of sample grant agreements from the Ambition Initiative – Round Two onwards;
- As far as commercial entities are concerned in terms of participating in NSPs, be it as NSOs or as implementing partners, the rules as stipulated in the General Information Document for the Ambition Initiative Call and any subsequent Calls for NSPs have been further refined and clarified. The aspiration of the NAMA Facility remains to attract more of such entities to become involved in NSP preparation and implementation to further diversify the scope of implementers and ensure that the perspective of the private sector is considered to maximise the impacts of NSPs;



Laser Land Levelling demonstration event in Phra Nakhon Sri Ayutthaya province (Thai Rice NSP).



Thai Rice NAMA Support Project Steering Committee meeting.



Mayor of Makassar together with representatives of MoT, BAPPENAS, BMUV, SECO, GIZ, and related stakeholders at the opening of the Smart Transportation Forum 2021 (Indonesia Transport NSP).



Ricardo Terra, Regional Director of SENAI-SP, and Paulo Skaf, President of SENAI-SP (FIESP).
(Brazil Industrial Energy Efficiency NSP).



Paper and cardboard remanufacturing process in Lanzhou (China Waste NSP).



#NoVaSola branded bus circulating through Lima's city centre (Peru Transport NSP).

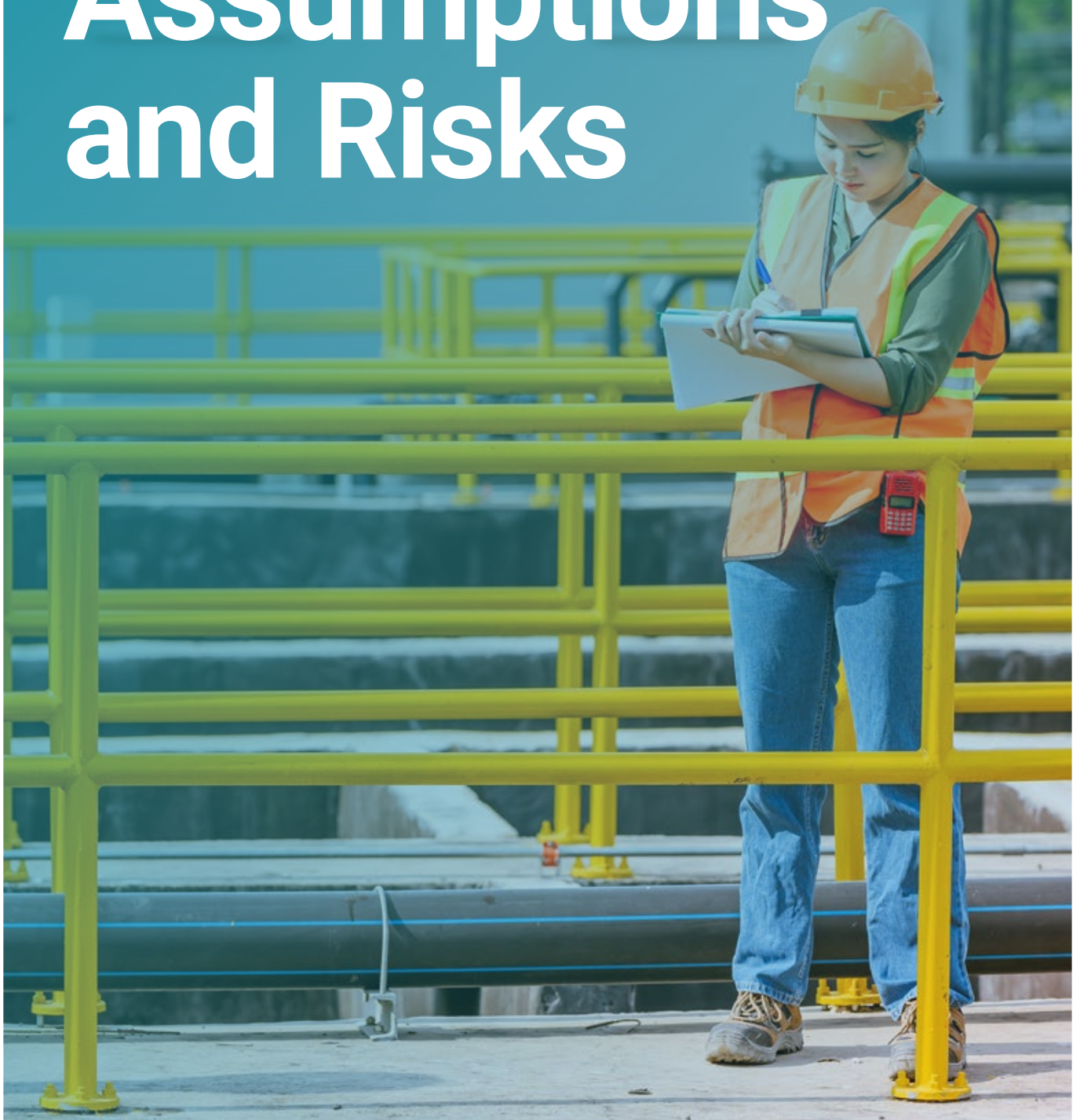
- The mitigation plausibility checks introduced in 2020 continue to add significant value to NSPs at all stages. As further lessons are drawn and systematically shared with potential applicants, NSOs and the broader climate finance community, they constitute an essential element of the NAMA Facility's function as a knowledge and learning hub to support an increasing quality of climate finance instruments;
- The TSU has intensified its efforts in 2021 to provide advice to NSOs in terms of budget planning and financial management of grants provided. From kick-off conversations at the start of both DPP and NSP Implementation, all the way to invoicing and audits of grant contracts, NSOs receive information material and trainings that enables them to better manage their contracts and monitor spending;
- Compared to 2020, the Covid-19 pandemic has now started to have stronger negative impacts on the portfolio of NSPs, with further delays occurring. Several NSPs have reported smaller or delayed impacts that can be expected from their activities. Market conditions have partially deteriorated, thus prohibiting the uptake of innovative technologies. In some instances, however, the Covid-19 pandemic has also generated positive effects: in two NSPs from the AFOLU sector (Costa Rica Coffee and Thai Rice) restrictions on travelling to rural areas and holding meetings have fast-tracked digitalisation efforts. NSPs have been forced to interact with a wide range of stakeholders on the basis of digital tools. Digital learning modules and online applications have been created, increasing efficiency and the reach of activities, for example for monitoring and the creation and use of apps. In the case of Colombia Transit-Oriented Development, a greater emphasis on local neighbourhood design and functionality has been observed by the NSP and is seen as an additional factor driving transformation change to reduce emissions from transport.



The Mayor of Makassar launched the BTS program in Makassar for people with disabilities at the Smart Transportation Forum 2021 (Indonesia Transport NSP).

5

Assumptions and Risks



5.1 Assumptions

The NAMA Facility operates in a highly dynamic and complex environment. Its success rests on many assumptions. This chapter discusses general and specific assumptions and risks.

General assumptions for achieving the outcome include that:

- Countries consider NAMAs as building blocks for the implementation of NDCs;
- Additional domestic and/or international finance is available for NAMA implementation;

- The NAMA Facility support fills a niche in global climate finance architecture, so that support from NAMA Facility and GCF are seen as complementary by countries;
- The perceived and actual barriers and risks for low-carbon investments are reduced due to the NSP interventions; and
- The approved NSPs are implemented as intended and planned.

Output-specific assumptions are mentioned in the following subsections.

Output 1	<p>For achieving Output 1 ("The NAMA Facility is effective and efficient in catalysing transformational mitigation action to implement NDCs"), it is assumed that:</p> <ul style="list-style-type: none"> ▪ Countries continue to develop NAMAs and to apply to the NAMA Facility for support; ▪ The NAMA Facility Board continues to provide sufficient funding for the implementation of Calls of the NAMA Facility; ▪ Eligibility criteria for NSPs do not become more restrictive; and ▪ NSPs are implemented as intended and in a timely manner.
Output 2	<p>For achieving Output 2 ("Additional public and private finance leveraged to drive carbon-neutral development"), it is assumed that:</p> <ul style="list-style-type: none"> ▪ Sufficient domestic and international finance from public and private sources is made available for NAMA implementation; and ▪ NSPs are implemented as planned and in a timely manner.
Output 3	<p>For achieving Output 3 ("The NAMA Facility disseminates lessons from transformational mitigation action, contributing to an effective learning environment"), it is assumed that:</p> <ul style="list-style-type: none"> ▪ The TSU is operational and sufficiently staffed until 2027; and ▪ There is a continued interest of the global community and the NAMA Facility Board in the implementation of NAMAs.
Output 4	<p>For achieving Output 4 ("National and local stakeholders have enhanced their capacities and policy environment to implement transformational action"), it is assumed that:</p> <ul style="list-style-type: none"> ▪ Institutions in partner countries have sufficient capacities to absorb and use TA from the NAMA Facility; and ▪ The enabling environment triggered by the NSP in partner countries is implemented and enforced beyond the NSPs direct intervention and lifetime.
Output 5	<p>For achieving Output 5 ("Implemented NSPs produce sustainable and transformative co-benefits"), it is assumed that:</p> <ul style="list-style-type: none"> ▪ There are sufficient M & E capacities available.

5.2 Risk Description

The following risks mentioned (and highlighted in previous Annual Reports) were again observed in 2021:

DELAYS IN NSP IMPLEMENTATION AND DISBURSEMENT OF FUNDS

This risk is considered high. Processes are slowed due to pending IPAs, delayed implementation and financing agreements, delayed appraisals, delayed approval procedures by the NAMA Facility Board and low capacities at Delivery Organisations (DOs) / NSOs and implementing partners. Mitigation measures addressing the risk of delays include:

- A streamlined NAMA Facility Board approval procedure for NSPs;
- Capacities within the German government dedicated to IPAs and keeping IPAs a priority in the TSU;

- An intensified progress of agreement and monitoring of obligatory timelines with NSPs for the appraisals, with clear deadlines applied for the Detailed Preparation Phases of NSPs selected in the 4th Call onwards; and
- TSU and external support for any implementing partners having insufficient capacities for NSP Implementation.

CONTRACTING THIRD PARTY DELIVERY ORGANISATIONS / NAMA SUPPORT ORGANISATIONS

Since the responsibility of the implementation is with the Third-party DOs / NSOs, the NFGA (GIZ) cannot assume liability for the delivery of results in NSPs with Third-party DOs / NSOs. Even though general rules for contracting are in place within GIZ and KfW to minimise risk and ensure correct use of funds, higher effort is required for assessing eligibility, evaluating NSOs and auditing. The TSU has meanwhile gained experience for better managing the process involving Third-Party DOs. This risk is considered medium.

The country risk (political, security, economic) is beyond the scope of influence by the NAMA Facility intervention. Risk mitigation includes a close monitoring via the NAMA Facility Board's embassies / delegations.



INCONSISTENT IMPLEMENTATION OF THE NAMA FACILITY'S M & E FRAMEWORK

The first version of the M & E Framework was finalised and communicated to the NSPs at the end of 2015, but NSPs experience challenges in consistently operationalising and applying the M & E Framework in their specific sector and country contexts. Mitigation measures include increased guidance from the TSU, early communication of expectations to NSPs, internal M & E capacities in the NSPs and facilitation of exchange between NSPs on M & E implementation (e.g. virtual meetings with the NSPs, which take place twice a year). In addition, a revised version of the M & E Framework is in use since 2018. This risk is considered medium.

CHANGES OF COUNTRY CONTEXT

The country risk (political, security, economic) is beyond the scope of influence by the NAMA Facility intervention. Risk mitigation includes a close monitoring via the NAMA Facility Board's embassies / delegations and the GIZ country offices and could potentially also include the early discontinuation of NSPs. This risk is considered medium.

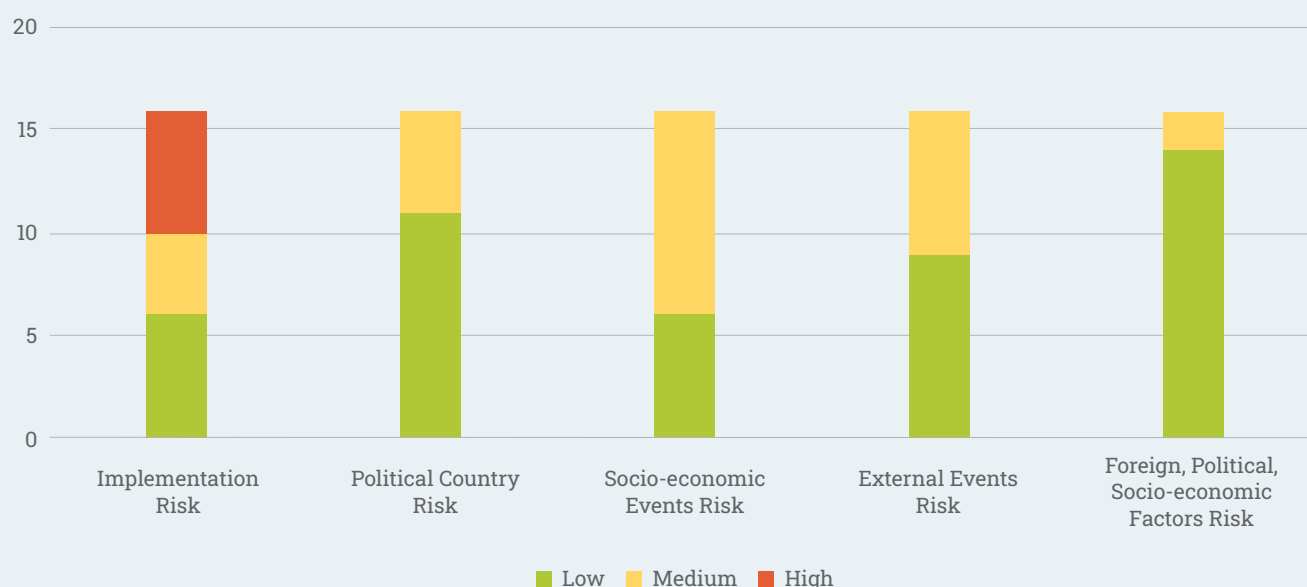
LOWER MITIGATION IMPACT AND LOWER TRANSFORMATIONAL POTENTIAL THAN INITIALLY EXPECTED

The scope of influence is considered high, particularly before the approval of implementation of an NSP when the NAMA Facility Board could reject the funding of an NSP. The TSU can mitigate this risk by providing enhanced intelligence during the NSP selection process (e.g. through on-site assessments), by explicitly communicating expectations prior to a Call and at the beginning of the Appraisal phase / DPP and through close monitoring. This risk is considered medium.

VOLATILE DEVELOPMENT OF THE GBP / EUR EXCHANGE RATE

As a significant share of Donor funding is provided in Great British Pounds (GBP), and the NAMA Facility commits funding for NSP implementation in EUR, the future volatility of the GBP / EUR exchange rate may require further quantitative adjustments. The development of the GBP / EUR exchange rate increases the risk of a funding gap. This risk is considered medium.

Figure 18: Risk Monitoring for the 2021 Annual Report



5.3 Risk Monitoring

The NAMA Facility risk monitoring is based on inputs and processes from various entities, such as the TSU, the NAMA Facility Grant Agent (GIZ), the NAMA Facility Board and the NSPs. The streamlined NSP risk monitoring approach, introduced in November 2020, serves as a tool to provide data and present the aggregation of generic NSP risks at the portfolio level. The NAMA Facility Risk

Monitoring is conducted every six months to supplement the Annual and Semi-Annual Reports. The five Key Risk Indicators show to which extent the NSPs estimate an impact on their project within the upcoming 6 months. Projects which are completed during the reporting year do not provide any assessment: this was the case of the NSP Thailand Refrigeration and Air Conditioning.

Key Risk Indicator 1: Implementation Risk

Key Risk Indicator 1 presents the NSPs' estimate on the likelihood of the NSPs' implementation to be delayed between January and June 2022. With 6 NSPs in implementation reporting low risks, 4 reporting medium risks and 6 reporting high risks, this key indicator needs to be closely monitored in the first half of 2022.

Key Risk Indicator 4: External Events Risk

Key Risk Indicator 4 presents the NSPs' estimate on the extent to which external events (e.g. natural disasters, disease) will adversely affect the implementation and / or success of the NSP between January and June 2022. With 9 NSPs reporting low risks and 7 NSPs reporting medium risks, this risk indicator remains of medium importance.

Key Risk Indicator 2: Political Country Risk

The Political Country Risk Indicator gives a more favourable picture compared to the preceding indicator, with 11 NSPs demonstrating low risk level, 5 NSPs medium risk and no NSPs displaying high risk.

Key Risk Indicator 5: Foreign, Political, Socio-Economic Factors Risk

Key Risk Indicator 5 presents the NSPs' estimate on the extent to which foreign political and socioeconomic factors (e.g. global market development, opposing global trends) will adversely affect the implementation and / or success of NSPs between January and June 2022.

Key Risk Indicator 3: Socio-Economic Events Risk

Key Risk Indicator 3 presents the NSPs' estimation of the extent to which socio-economic country risks will influence the implementation of the NSPs during the first half of 2022. Compared to the previous report, overall, this risk indicator flags for a closer monitoring with 6 NSPs reporting low risk, 10 NSPs displaying medium risk and no NSP showing high risk.

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