

Annual Report 2019

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About the pictures on the title page (clockwise from top left):

- Participant in an AC safety training; Thailand Refrigeration and Air Conditioning
- Solar PV technicians inspecting technical plans; Tunisia Clean Energy in Buildings
- Coffee beans drying in the sun on large patios – an environmentally friendly alternative to energy-intensive ovens; Costa Rica Coffee
- On-ground measurement of rice GHG emissions on a demonstration plot; Thailand Rice

Welcome

Bold, transformational action is urgently required to succeed in meeting any of the international community's global warming targets. At the NAMA Facility, we are working to close the gap between ambitious climate targets and real climate action. Based on the funding and guidance of our Donors and together with our partners in numerous countries around the world, we provide expertise and financial support to projects that trigger sustainable and scalable investments in carbon-neutral development.

We encourage governments and private actors to join forces in developing feasible, yet innovative approaches for greenhouse gas mitigation projects, spanning sectors as diverse as waste management, transportation, energy efficiency, agriculture and renewable energy. The projects our Donors select for support are driven by the commitment of national governments and are deeply embedded in countries' national frameworks to combat climate change. They also compel the private sector's significant involvement, as its participation is crucial for scaling climate action and creating bankable pipelines of mitigation projects.

Our ambition is to be a catalyst. We want transformative ideas to scale and multiply – locally and nationally, from sector to sector, worldwide. This is why we capture and share our experiences and disseminate our knowledge to empower others to close the gap between aspirations and action. As a proponent of fearless learning, we reflect on our experiences, both positive and negative, to continuously improve. With this publication, we invite you to discover our work and join the NAMA Facility in its mission to promote transformational change in the pursuit of concerted international action to protect our climate.

This is the first time we publish our Annual Report for the general public. It has been slightly edited to not reveal certain confidential information. We hope it will be a useful contribution to learning and to further increasing transparency. We are looking forward to your questions and comments!



Dr. Sören David

Head of the Technical Support Unit, NAMA Facility

Executive summary

The 6th Call closed on 15 March 2019. 51 outlines were submitted, demonstrating a continued interest in both Nationally Appropriate Mitigation Actions and the continued offer of the NAMA Facility. 16 Outlines were submitted by applicants from 12 least developed countries (LDCs); five Outlines were submitted by four Small Island Developing States (SIDS). The total requested funding was close to EUR 750m. After the in-depth assessment of 13 preselected Outlines, five Outlines were selected for the Detailed Preparation Phase (DPP). The first 6th Call NAMA Support Project (NSP) entered the DPP in December 2019, while the remaining 6th Call NSPs are scheduled to enter the DPP in the first half of 2020.

The portfolio further evolved in 2019:

- Six NSPs were approved for implementation, covering a diverse range of sectors such as renewable energy, agriculture and energy efficiency.
- One NSP was discontinued due to concerns about feasibility, scalability and political support.
- The first two NSPs from the 5th Call concluded their DPP and handed in NSP Proposals.
- Three NSPs from the 5th Call entered the DPP.

At the end of 2019, the NAMA Facility portfolio consisted of 17 NSPs in implementation and 13 NSPs in preparation (Appraisal/DPP). In addition, since the beginning of the NAMA Facility, four NSPs have been discontinued at Appraisal/DPP stage, i.e., no funding was granted for implementation. So far, one NSP component was finalised. In 2020, four NSPs/NSP components are scheduled to conclude.

The NAMA Facility developed an amendment policy in 2018, which was updated and passed in 2019. Based on this policy, six NSPs/NSP components were extended in 2019.

First results from NSPs in implementation indicate that transformation is most likely in clearly delineated and compact sub-sectors such as the coffee sector or cooling sector. Political support remains an important element for change and is reflected in NSP Proposals through embeddedness in national development plans and strong links to partner countries' NDCs. It was also found that significant direct GHG reductions attributable to the NSPs are likely to be achieved towards the end of an NSP's implementation period (i.e., once the supported investments begin full operation). Thus, as most NSPs continue to be at rather early stages of implementation, GHG reductions reported by NSPs remain for the moment being relatively low.

In 2019, milestones for mandatory core indicators of NSPs in implementation were adjusted in close coordination between Donors and TSU. This was in order to reflect the fact that, after commissioning by the NAMA Facility Board, certain steps must be completed before implementation can begin, e.g., the preparation of grant agreements, the signing of intergovernmental project agreements, etc. The time required for these steps had not been sufficiently considered in the milestones as originally formulated.

The revised milestones for 2019 have been reached for indicators M3 (Transformational change/Degree to which the supported activities are likely to catalyse impact beyond NAMA Support Projects), M4 (volume of public finance mobilised) and M5 (volume of public finance mobilised). Even though there was a significant increase in outcomes, revised milestones were not met for indicators M1 (GHG emission reduction) and M2 (number of beneficiaries). The underachievement in indicators M1 and M2 is mainly due to the fact that some NSPs have been overly optimistic in formulating their targets.

NAMA Facility Donors raised ambition: the NAMA Facility's target is no longer to contribute to low-carbon development – the ambition now is to support carbon-neutral development.

Also in 2019, the NAMA Facility's knowledge creation strategy and corresponding three-year work plan, risk appetite framework and project cancellation policy were approved and operationalised. The knowledge creation strategy will support the NAMA Facility's role as a knowledge and learning hub. An updated version of the NAMA Facility's communication strategy was also delivered to Donors.

Throughout the year, the NAMA Facility continued exchanges with climate finance stakeholders (Climate Investment Funds, GCF) on a broad range of topics, most prominently on transformational change, during a side event organised by the NAMA Facility at the occasion of the Bonn Climate Conference 2019.

Contents

1	Main developments in 2019.....	9
1.1	Status of the NSP portfolio.....	9
1.2	Strategic considerations.....	11
1.3	6 th Call for NAMA Support Projects.....	11
1.4	Knowledge management and communication.....	15
1.5	Monitoring and evaluation.....	16
1.6	Transformational change.....	18
1.7	TSU.....	19
2	Outcome assessment.....	20
3	Output assessment.....	25
4	Lessons learnt.....	39
5	Assumptions and risks.....	42
6	Budget allocation and expenditures.....	44

List of abbreviations

abbreviation	definition
AC	air conditioning
AFD	Agence Française de Développement
AGCI	Agencia Chilena de Cooperación Internacional (Chile)
AMM	Directorate of Multimodal Transport within Ministry of Transport (Indonesia)
ATU	Autoridad de Transporte Urbano (Peru)
BAT	best available techniques
BCIE	Central American Bank for Economic Integration, also called CABEL
BDD	board decision document
BEIS	Department for Business, Energy & Industrial Strategy (UK)
BEP	best environmental practices
BMU	Bundesministerium für Umwelt, Naturschutz und nukleare Sicherheit (Germany)
BMZ	Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung (Germany)
BRT	bus rapid transit
CATIE	Tropical Agricultural Research and Higher Education Center
CCAP	Center for Clean Air Policy
CIF	Climate Investment Funds
COP	conference of the parties
DBP	Development Bank of the Philippines
DEA	Danish Energy Agency
DG	distributed generation
DIW	Department of Industry (Thailand)
DO	delivery organisation
DPP	detailed preparation phase
EE	energy efficiency
EFKM	Danish Ministry of Energy, Utilities and Climate
ELE	Evaluation and Learning Exercise (individual mid-term and final NSP evaluations)
EU	European Union
ESCO	energy service company
FAO	Food and Agriculture Organisation
FC	financial cooperation
GCF	Green Climate Fund
GDP	gross domestic product
GHG	greenhouse gas
GID	general information document
GAP	Good Agricultural Practices
HFCs	hydrofluorocarbons
IA	implementation agreement
ICS	improved cookstove
IICS	improved institutional cookstove
ICV	Instituto Centro de Vida (Brazil)
IDB	Inter-American Development Bank
IMAFLORA	Institute of Agricultural and Forest Management and Certification (Brazil)
IPA	intergovernmental project agreement
IPP	independent power producers
IWM	integrated waste management
IZN	Institut zur Nachhaltigkeit
KPI	key performance indicator
LDCs	least developed countries

abbreviation	definition
MAPA	Ministry of Agriculture, Livestock and Supply (Brazil)
MMA	Ministry of Environment (Brazil)
MRT	mass rapid transit
MRV	monitoring, reporting, verification
MW	megawatt
NAFIN	Nacional Financiera (National Development Bank, Mexico)
NAMA	Nationally Appropriate Mitigation Action
NDC	nationally determined contribution
NFGA	NAMA Facility grant agent
NSP	NAMA Support Project
NSO	NAMA Support Organisation
MTC	Ministry of Transport and Communications (Peru)
PPP	public-private partnership
PV	photovoltaic
RE	renewable energy
RAC	refrigeration and air conditioning
ROI	return on investment
SBI	subsidiary body for implementation
SECO	Staatssekretariat für Wirtschaft (Switzerland)
SEMARNAT	Ministry for the Environment and Natural Resources (Mexico)
SENER	Ministry of Energy (Mexico)
SHF	Sociedad Hipotecaria Federal (Mexico)
SIDS	small island developing states
SME	small and medium-sized enterprise
SRP	Sustainable Rice Platform
SSRE	self-supply renewable energy
TA	technical assistance
TC	technical cooperation
TSU	Technical Support Unit
TOD	transit-oriented development
UK	United Kingdom
UN	United Nations
UNDP	United Nations Development Program
WWF	World Wildlife Fund
WRI	World Resource Institute

1 Main developments in 2019

1.1 Status of the NSP portfolio

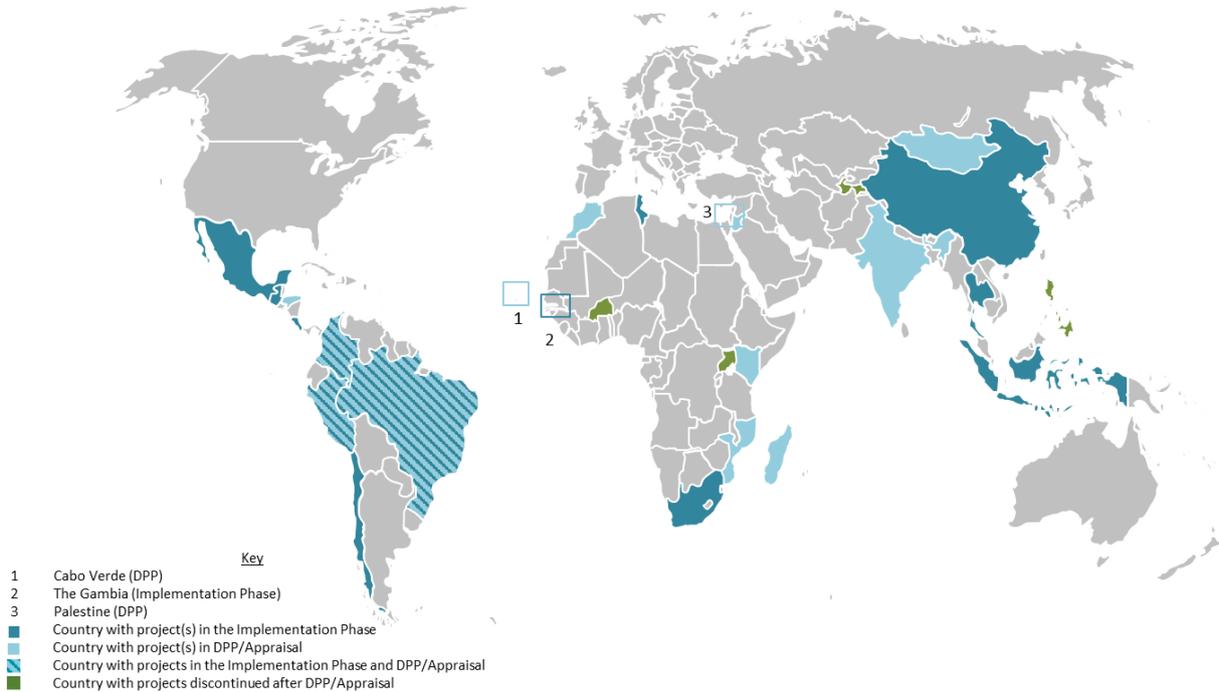


Figure 1: The portfolio of the NAMA Facility in 2019

The portfolio of the NAMA Facility is composed of NAMA Support Projects (NSPs) in preparation (DPP, appraisal phase), NSPs in implementation (both operational and non-operational, for example, due to delay in signing IPA), NSPs that have been concluded and NSPs that have been discontinued after their appraisal phase/DPP (see Table 1 below).

The main developments in 2019 were:

- Implementation was approved for six NSPs.
- Implementation was not approved for one NSP.
- The DPP was approved for five new NSPs from the 6th Call.

NSP	Preparation	Implementation	Concluded	Discontinued ¹	Changes in 2019
001 Mexico Housing		FC	TC		
005 Costa Rica Coffee					TC & FC extended
006 Colombia Transit-Oriented Development					TC extended
009 Indonesia Transport					TC & FC extended
025 Chile Renewable Energy					TC & FC extended
203 Tajikistan Forestry					
212 Peru Transport					
228 Burkina Faso Biomass Energy					
237 Thailand Refrigeration and Air Conditioning					
306 Colombia Refrigeration					
308 Guatemala Cookstoves					Implementation approved
316 Kenya Transport					
317 South Africa Public Buildings and Infrastructure					TC & FC extended
318 China Waste Management					
404 Uganda Cookstoves					Discontinued
405 Thailand Rice					
410 The Gambia Grid-Connected Solar					Implementation approved
414 Mexico SME Energy Efficiency					Implementation approved
428 Philippines Distributed Solar					Discontinued
437 Tunisia Clean Energy in Buildings					Implementation approved
460 Brazil Beef					Implementation approved
469 Mexico Sugar Mills					Implementation approved
505 Brazil Industrial Energy Efficiency					NSP Proposal received
526 Peru Coffee					DPP started
537 Palestine Olive Value Chain					DPP started
541 India Waste Management					DPP started
546 Mozambique Waste Management					DPP started
548 Cabo Verde Electric Vehicles					NSP Proposal received
566 Colombia E-Mobility					DPP delayed
603 Morocco Energy Efficient Households					New, DPP started
619 Mongolia Building Retrofitting					New
639 Madagascar REDD+					New
644 Honduras Livestock					New
649 Jordan Grid Enhancement					New
Total	13	16.5	0.5	4	
		34			

Table 1: Overview of NSP portfolio

In 2019, DPP phase 2 was approved for four NSPs from the 5th Call after delivery of the DPP phase 1 report. Following delays during contracting, DPP start was delayed for three NSPs. There were two minor extensions of DPPs.

¹ This includes only NSPs that were discontinued after appraisal/DPP, not NSPs that were not approved for appraisal/DPP after the onsite assessment.

In 2019, some issues related to IPAs were resolved. Some long-delayed IPAs were finally signed. At the end of 2019, IPAs were not yet signed for four NSPs. IPAs require continued attention by the TSU and Donors since they are necessary in all NSPs for which GIZ or KfW are the NSO.

In 2019, Donors approved a revision of the amendment policy for NSPs in implementation and in DPP. For all NSPs entering implementation thereafter, the revised amendment policy allows the withdrawal of funds if the start of the DPP is delayed by more than six months.

A number of amendment requests were prepared by NSPs. Not all amendment requests were granted, for example in the case of two NSPs who filed requests for additional funds. In both cases, the requests were denied.

A number of NSPs are scheduled to end in 2020. The TSU will develop a standardised format for end-of-NSP reporting. All NSPs which end in 2020 will be subject to a final evaluation (see section 1.5.2 Evaluation).

1.2 Strategic considerations

2019 was marked by a variety of efforts of the NAMA Facility to ensure that the high level of ambition of the NAMA Facility is perpetuated but also to refine key documents and processes and adjust certain policies to reflect the reality of the implementation of NSPs:

The increase in the ambition level of the NAMA Facility from “low-carbon development” to “carbon-neutrality” demonstrate the urge of the Donors for impacts to be achieved by individual NSPs and the NAMA Facility as a whole.²

As the life cycle of the NSPs selected in the Calls 1-2 of the NAMA Facility will continuously come to an end the focus on refining abstract aspects at portfolio level as well as specific managerial topics related to individual NSPs have in 2019 been featuring more prominently on the agenda of the NAMA Facility than in previous years. Topics such as the Theory of Change, the definition of transformational change, M&E plans and the cancellation policy have been thoroughly discussed between the TSU and Donors and resulted in improved guidance for NSPs, the TSU as well as prospective new applicants. It can thus be argued that the NAMA Facility has achieved an even higher degree of maturity in 2019.

In parallel, with the selection of a consultancy consortium to conduct the Evaluation and Learning Exercises and the kick-off of the related work packages in 2019, an important milestone for the generation of lessons learnt from NSPs has been reached. Once its framework assignment is in place and the first ELEs will be conducted in 2020 the full potential of the implementation of NSPs in terms of achieving mitigation and contributing to lessons learnt will become visible.

Finally, the 2020 Interim Evaluation of the NAMA Facility will be another important milestone to assess the pertinence of the NAMA Facility as such: There is definitely no shortage of demand for NAMA Facility funding to implement NSPs as a vehicle for NDC implementation but as the decreasing number of Outline received in last year’s 6th Call has illustrated there might be a lack of suitable capacities to establish NSPs which are mature enough to receive funding for DPP.

1.3 6th Call for NAMA Support Projects

1.3.1 Overview

The 6th Call, launched on 10 Dec 2018, was open for NSP Outline submissions until 15 March 2019.

In total, 51 NSP Outlines were submitted, 16 of which were resubmissions from previous Calls. In 37 cases, eligibility could be clearly established; for 14 NSP Outlines eligibility remained unclear.

² See newspiece on NAMA Facility website: <https://www.nama-facility.org/news/nama-facility-donors-raise-ambition-to-target-carbon-neutrality/>

Nevertheless, Donors agreed to take forward all 51 NSP Outlines for a substantive desk-based assessment.

The desk-based assessments were conducted independently by the TSU and an external assessor between 15 March and 7 May 2019. The TSU and the external assessor compiled a joint list of NSP Outlines recommended for in-depth assessment through a series of consultations. Based on (1) the recommendations from the TSU/external assessor and on (2) additional considerations by Donors, 13 NSP Outlines were short-listed for an in-depth assessment during Board Meeting 14 (21 May 2019, London).

The TSU was mandated to decide the appropriate format for the in-depth assessment.

Following the NAMA Facility Board's decision, the TSU notified all applicants and organised in-depth assessments for the 13 short-listed NSPs. For two NSPs, a round of written clarifications was organised before the decision about an onsite assessment was made. In both cases, the responses were considered to be of sufficient quality to justify onsite assessments.

From 12 June to 8 August 2019, 13 onsite assessments were conducted. After each onsite assessment, the Outline assessment was updated, incorporating new findings. Eventually, out of 13 NSPs, eight were recommended as, in general, fit to receive DPP funding, while five were not recommended to receive DPP funding.

Based on the results of the in-depth assessments and further considerations including the raised ambition for the portfolio (see section 1.2), Donors decided during Board Meeting 15 (28 August 2019, Berlin) to fund the DPP of the following five NSPs:

- 603 Morocco Energy Efficient Households
- 619 Mongolia Building Retrofitting
- 639 Madagascar REDD+
- 644 Honduras Livestock
- 649 Jordan Grid Enhancement

As in previous Calls, applicants of the 46 non-selected NSPs were offered a feedback call by the TSU. The goal is to promote learning and improvement of NSP Outlines. By the end of the reporting period, 33 applicants (72%) had requested and received feedback. The possibility to receive feedback was again highly appreciated by applicants. It also gave the TSU an opportunity to gather input from applicants on the application form and the application procedure – valuable information for improving the application process.

1.3.2 Lessons learnt from the 6th Call

Overall approach

Over the course of six Calls, the TSU has continuously refined and improved the processes for NSP Outline submission and evaluation, especially considering that the TSU and external assessors have to evaluate NSP Outlines in a short period of time. Based on lessons learnt from the 5th Call and feedback from applicants, only minor changes were introduced in the 6th Call.

The overall number of submissions in the 6th Call was lower compared to the 4th and 5th Call but was still higher than in the first three Calls. Potential applicants mentioned two main reasons of not submitting NSPs Outlines: (1) the short time window between the Call's launch and closure (about three months, one month less than in the previous Call) and (2) insufficient readiness of project concepts. Nevertheless, the 6th Call drew the interest of a range of applicants, some of them new to the NAMA Facility. In addition, NSP Outlines were received from seven countries that had never

submitted to the NAMA Facility before. Many of the applications referred directly to NAMAs as instruments for implementation of their country's NDCs.

The general analysis of submissions in the 6th Call concluded that a significantly lower number of NSP Outlines (13 in the 6th Call compared to 25 in the 5th Call) could be linked to donor-funded readiness programmes. This is probably due to the fact that several support programmes have concluded their operations. NSPs require a certain level of preparedness before they can be considered by the NAMA Facility. Therefore, the lack of dedicated funding for project preparation remains a concern for future Calls. However, resources for project preparation may become available under the umbrella of NDC implementation support.

Drawing on the lessons learnt from the 6th Call, future Call design should consider an extended timeline between the announcement and submission, giving applicants more time to prepare the NSP Outline. Also, well-targeted upstream support activities within the mandate of the TSU could be beneficial to increase the quality, and potentially also the number, of submissions in a Call.

Communication and outreach

During the reporting period, the TSU organised two live webinars (on 16 January and 13 February 2019) to provide guidance on the 6th Call and to clarify questions from potential applicants. Questions were also systematically answered through clarification notes published on 23 January, 20 February and 6 March. According to feedback received from applicants, the events and clarification notes were greatly appreciated by the target group. In total, the TSU published 99 FAQs and 73 formal clarification notes while responding to 174 individual queries.

As in previous Calls, the TSU also conducted a series of outreach conversations with international institutions, providing a "heads-up" prior to the formal announcement of the Call in order to allow them to prepare their project pipelines. The TSU observed that a broad range of organisations participated in the 6th Call, indicating that the outreach strategy was successful. On the other hand, the TSU also observed that the number of submissions per organisation is decreasing, indicating a concentration of efforts within the organisations applying.

To increase the number of submissions in future Calls, enhanced communication efforts including potential new communication channels should be considered before and during the Call.

Qualitative assessment process of NSP Outlines

In the 5th Call, the desk-based and onsite assessment were performed by separate consultancies, leading to a loss of synergy between assessment types. As a result of this lesson learnt, the TSU hired only one external consultancy for both assessments in the 6th Call, leading to a notable increase in efficiency and consistency of individual assessments.

Newly introduced in the 6th Call, the greater flexibility in engaging with NSPs that are short-listed for an in-depth assessment allowed for an upfront, written clarification of additionality in two cases. While certainly useful in clarifying essential details before deciding to travel to the country, the written clarification rounds led to delays and subsequent timing challenges in the in-depth assessment. Future timelines should take account of this extra time.

Onsite assessments have once again proven an essential part of the assessment process, allowing a good understanding of NSPs before funding decisions are taken. The onsite assessments aimed at an in-depth verification of findings from the desk-based assessment, in particular related to stakeholder engagement, readiness and additionality of the NSPs. In addition, onsite assessments provided valuable opportunities for stakeholders to engage with each other.

Mitigation potential

During the 6th Call, the submission of Annex 6 (GHG emission reductions) was mandatory for the first time. In general, this made it easier to understand the expected mitigation potential of an NSP, particularly for cases in which all calculations were made transparent. However, many NSP Outlines only provided hard-coded figures in this annex, which did not allow assessors to follow thoughts and calculations.

It was also noted that certain project types (forestry, agriculture) faced challenges in presenting their mitigation potential as the underlying logic of Annex 6 is based on technology-focused projects. A further refinement of the annex should be considered prior to the next Call.

In line with previous Calls, it was also noted that GHG calculations for many NSPs were not conservative, assuming, for example, 100% adoption of the proposed project measures and ignoring, for example, leakage effects, credit defaults and issues of attribution. Some sectors are prone to higher levels of uncertainty than others, compounded by a lack of reliable data (forestry and agriculture, to a lesser extent also transport and waste). In future Calls, some type of correction or downward adjustment factor might be considered for assessing (and scoring) the mitigation potential in cases with high uncertainties.

Intended effects of 6th Call amendments:

- It was mandatory for applicants to provide the calculation of their GHG mitigation and the underlying business model and financial mechanism in Annexes 6 and 7. The intention was to support applicants in substantiating their NSP rationale and design, and to facilitate, during assessment, a better understanding of the mitigation, the financial ambition as well as the feasibility of the NSP. This aim was partially achieved as the annexes contributed to a better understanding of project designs and ambition. It was, however, noted that the annexes require further revision to better guide applicants and increase transparency of data and calculations.
- The scope of step two of the assessment process was broadened to allow written clarifications and virtual meetings. This flexibility of formats was useful in preparing the in-depth assessments and should be maintained in future Calls.
- In the past, additionality was assessed as a part of the Outline's ambition. In the 6th Call, it was made a sub-criterion of eligibility, which was useful for both assessment by the TSU and for communication of expectations towards applicants.
- At the end of the reporting period, it was too early to assess the impact of the further changes (DPP periods shortened to either 10 or 15 months, requirement of institutionalised MRV systems, inclusion of knowledge creation and communication in NSP Proposal template) since 6th Call NSPs are still far from delivering their NSP Proposals.

Feedback calls

The offer of feedback to non-successful Outlines submitters is a notable feature of the NAMA Facility. Initially, fewer applicants responded to the TSU's offer than expected. However, after sending a reminder (not only applicants, but also to applicant support partners) and after also extending the deadline, 72% of the applicants made use of the offer.

The feedback calls are good opportunities to receive feedback from applicants on the Call application process and documents. Applicants mentioned that the NAMA Facility has a more complex and demanding application procedure than other climate finance programmes; applications are therefore challenging for national governments and organisations. Applicants also requested a review of the timeline to allow for clarifications at a relatively late stage of the Call to ensure that last-minute queries

way still be addressed. Further guidance was often requested on the content of support letters from the national government.

1.4 Knowledge management and communication

1.4.1 Knowledge management

TSU and Donors had agreed on the pillars of the NAMA Facility's knowledge creation strategy in 2018:

- Contribute to building the capacity of potential future applicants and the quality of the pipeline
- Contribute to improving the NAMA Facility's internal processes and procedures
- Inspire others to raise ambition and replicate NSPs
- Contribute to establishing sectoral best practices and to international debates on climate finance and transformational change through informed and evidence-based positions

In 2019, the TSU developed a 3-year work plan to animate the knowledge creation strategy. Both the knowledge creation strategy and the 3-year work plan were approved by Donors at Board Meeting 14 (London, May 2019). The knowledge creation strategy covers both past activities of the TSU (for example, feed-back calls to Outline submitters) as well as additional activities (for example, engagement with the Global Delivery Initiative). Thus, the overall level of ambition was raised.

The work plan is broken down into 17 individual work packages. The TSU developed an internal tool to track progress on each work package. A detailed update on the implementation of the knowledge creation strategy and on year one of the 3-year work plan will be provided by the TSU in mid-2020.

In 2019, the TSU again organised a number of knowledge creation / knowledge management activities:

- A two-day workshop of NSPs in implementation was organised in Bonn in June 2019. 17 NSPs were present. Exchange focussed on transformational change in three areas: financial mechanisms, regulation/policy and local actors/change agents. Feedback from NSPs was very positive: NSPs highlighted the interactive nature of the workshop and the possibility of a peer-to-peer exchange with other NSPs on enablers and challenges (for example, setting up financial mechanisms). Several NSPs suggested to have such in-person meetings on a regular basis, in addition to virtual exchange formats.
- Back-to-back with the two-day NSP workshop and parallel to the Bonn Climate Change Conference 2019, NAMA Facility and the CIF jointly organised a one-day workshop entitled "Learning About Transformational Change in International Climate Finance". The workshop was open to the public and about 65 persons attended, including representatives from Donors, the climate finance community (GCF, among others) and implementers.
- Knowledge management was included as a new section in the draft NSP Proposal documents for the 6th Call.
- Several knowledge management activities related to the 6th Call were concluded: preparatory webinars, publication of clarification notes, and feedback calls (for details, see section 1.3).

1.4.2 Communication

In 2019, the TSU further strengthened and expanded the NAMA Facility's communication efforts. The NAMA Facility Communication Strategy was further elaborated. As part of this, an external evaluation was commissioned to take stock of current and to propose additional communication work (the results of which will be available in Q1/2020).

Throughout the year, the TSU executed its annual communication work plan, including support for the 6th Call and its launch, the production of several webinars, a virtual meeting with NSP representatives and the development of human interest stories and other knowledge products. The TSU's communication work exceeded that of 2018 in several ways. Website hits rose by nine per cent over

2018 (and by 59 per cent over 2017). A new video interview series was developed, and processes were further strengthened by creating task-specific guidance documents, including one for NSP news piece development and logo use, and a new tool for tracking NSP news submissions.

A new webinar section was developed for the website, making recorded webinars much easier to watch and the slides easier to obtain – now from one website page. Further website improvements were also made, including the creation of new 6th Call NSP sub-pages. Throughout the second half of 2019, the TSU also launched a tender to hire a new agency for the provision of both website and graphic design support, due to the expiration of the existing support contract. This new company will begin in Q1/2020. Finally, the snapshot report was redesigned to reduce its over-sized format and increase its visual appeal. The new 6th Call NSPs were also added to that publication.

1.4.3 Risk framework and cancellation policy

In 2019, the TSU and Donors further strengthened and expanded the NAMA Facility's risk framework to enhance its approach to managing risks. This includes the establishment of standardised monitoring tools as well as trigger points for Donors to consider the performance and progress of NSPs across the portfolio.

1.5 Monitoring and evaluation

1.5.1 Monitoring

As in previous years, the Annual Report 2018 had mentioned delays of project start in a number of NSPs, making it unlikely that these NSPs would reach their targets on the original timeline. The most common reasons for delays were missing IPAs and challenges in contracting. Following the publication of the Annual Report 2018, and in close coordination with Donors, the TSU simulated new milestones for indicators M1, M2, M4 and M5, based on the assumption that all targets would be reached, albeit at a later date. These revised targets underlie the reporting in chapters 2.1 (M1), 2.2 (M2), and 3.2 (M4+M5) of this report.

Another issue that again appeared in the Annual Report 2018 is that the NAMA Facility's portfolio is composed of NSPs that were commissioned before the M&E framework was published (essentially, NSPs from Calls 1-3) and of NSPs that were commissioned after the M&E framework was published (NSPs from Call 4 onwards). Reporting is thus not fully aligned across NSPs. The most common challenge is that NSPs from Calls 1-3 generally tend to have targets concerning the whole NAMA, whereas NSPs from Call 4 onwards tend to have – in line with the M&E framework³ – targets concerning only the NSP and not the NAMA as a whole. In the following chapters, this report follows the M&E framework and points out where NSPs deviate in their reporting.

Two NSPs have submitted amendment requests with the aim to reduce NSP-level targets. In both cases, the Donors, based on the TSU's recommendation, decided to not approve reduced targets (in order to maintain pressure on the NSP to deliver), but to use the lower targets in portfolio-level reporting (thus acknowledging that not all NSPs will fully deliver on their targets).⁴

A new M&E plan template was developed in December 2019 by the TSU for the Annual Report 2019. The new M&E plan template reflects changes made to the M&E framework in 2018, for example the requirement to estimate values for the 10 years following NSP end for indicators M1-M5. It is not expected that all NSPs will be able to fully comply with the new template in the first reporting cycle, but it will lay the groundwork for consistent reporting in the future. The TSU recommends that all M&E

³ The [M&E framework](#) states that only results attributable to activities of the NSP can be reported.

⁴ This decision was also driven by the Donor's awareness that there cannot be perfect achievement of targets in all cases. Donors would like to foster transparency on targets not achieved, especially in light of fearless learning.

plans be further scrutinized in the course of 2020 to allow for fully compliant M&E plans as the basis for the next annual reporting.

In December 2019, the TSU submitted a concept paper to Donors concerning a workshop series on M&E topics. The workshop series is meant to allow for in-depth discussions, to help further improve reporting and to generally support the NAMA Facility's endeavour to be a learning organisation. Donors approved the concept. At the end of the reporting period, the TSU planned to hold three workshops (Asia – Bangkok, Africa – Tunisia, Latin America – Mexico City) in March 2020.

Some NSPs have been commissioned before the NAMA Facility's M&E framework was available (see above), and therefore report results for the whole sector-wide NAMA (as opposed to results directly attributable to the NSP). As an example, let's assume that about 800,000,000 EUR (USD 1b) public funds were mobilised within the NAMA of a specific country so far. Even though the NSP supports this NAMA, the mobilisation of public funds was not a direct result of the NSP. However, the NSP contributed to the success of the NAMA in many ways. It might, therefore, be sensible to develop the NAMA Facility's reporting in this direction.

Two possibilities include:

- The NAMA Facility might report a percentage of the sector-wide outcomes in a sector where a NAMA exists and an NSP is active. Assuming, for example, a "contribution rate" of 1%, the NSP in this example would be able to report about EUR 8,000,000 in the M4 indicator.
- The NAMA Facility might decide to not quantify its contribution. The overall amount of funds mobilised would, however, still be mentioned and it would be made clear that the NSP contributed to it.

These and other possibilities will be further evaluated in 2020.

Box 1: Conceptual challenges when NSPs report about the entire NAMA.

Throughout the year, the TSU continued to organise regular M&E calls with Donors at intervals of roughly six weeks. These calls are different from regular Donor calls in that the focus is not on decision-making, but on information and discussion concerning M&E topics.

The TSU successfully completed a tender for a mitigation plausibility check in 2019. The goal is to support the TSU in its plausibility checks with regard to NSP Outlines, DPP Reports, NSP Proposals and topics relevant for regular reporting. Consultants are specifically asked to check the plausibility of hypotheses and use of up-to-date methodologies. Another work package concerns the revision of NAMA Facility documents such as mitigation annexes for both NSP Outlines and NSP Proposals as well as the M&E plans of selected NSPs. Overall, this will lead to improved reporting on indicator M1. The kick-off meeting with the consultants was held in December 2019. The first work package will be to contribute to the assessment of the NSP Proposals received in December 2019.

For 2020, the TSU aims for a minor revision of the M&E framework. This revision will have the character of a "maintenance release": removing outdated information and some inconsistencies.

1.5.2 Evaluation

All NSPs have to undergo mid-term and final evaluations. The TSU had tendered mid-term and final evaluations of all NSPs of Calls 1-3 in 2017. However, after a disappointing experience with the winning consortium, it was decided to terminate the contract early and re-tender the NSP evaluations.

The terms of reference were revised, based on lessons learnt from the first attempt. Two new work packages were introduced:

- The development of a theoretical framework prior to the first NSP evaluation. This framework describes the methodological approach and ensures consistency across individual NSP evaluations.
- The writing of meta-level reports which extract “bigger picture” information once a certain number of individual NSP evaluations have been completed.

The new TORs place a high emphasis on learning. Individual NSP evaluations were termed “evaluation and learning exercises” (ELEs).

The TSU had expected to have finalised contracting in the summer of 2019, however, contracting took longer than expected. A kick-off meeting with the winning consortium was held in Berlin (with remote participation by Donors) in October 2019. Consultants delivered an inception report in December 2019 and will develop the theoretical framework in Q1/2020. A workshop with Donors is planned for January 2020 in London to present the inception report’s findings and to develop a common understanding about the theoretical framework.

In the meantime, the TSU and the ELE team have agreed to hold bi-weekly calls.

Two pilot evaluations are scheduled for 2020. However, the failed first attempt and the slower-than-expected contracting for the second attempt mean that it will not be possible to have mid-term evaluations for NSPs that are already quite advanced in their implementation (i.e., these NSPs will undergo a final evaluation only).

1.6 Transformational change

Transformational change both at the level of the NAMA Facility as well as of individual NSPs once again featured quite prominently on the agenda in 2019.

On the portfolio level, the TSU has developed together with Donors and then with representatives of NSPs at the occasion of the side event to the SBI Bonn Climate Conference in May a working definition on transformational change which reads as follows: “Transformational change is a catalytic change in systems and behaviours resulting from disruptive climate actions that enable actors to shift to carbon-neutral pathways.”

In addition, the TSU together with the Donors engaged in a process to refine the existing Theory of Change which dates back to the initial stages of the NAMA Facility in 2012. It was decided to limit this update to obvious aspects such as the establishment of the NAMA Facility which can be seen as accomplished and the advent of the Paris Agreement. The updated Theory of Change was passed by the NAMA Facility Board at its Brussels Board Meeting in November 2019. A more substantial revision of the Theory of Change is planned as a result of the NAMA Facility Interim Evaluation 2020.

A further related material change occurred in the second half of 2019 when Donors required the overall ambition level of the NAMA Facility to be increased from targeting “low-carbon development” to “carbon-neutral development”. As all four NAMA Facility Donors have already committed to this ambition level individually there was consensus to equally apply it to the NAMA Facility.

In 2019, the NAMA Facility continued its involvement in the Transformational Change Learning Partnership of the Climate Investment Funds. One result was the NAMA Facility collaborating with UNEP/DTU and the World Resource Institute (WRI) on pilot testing the Initiative on Climate Action Transparency (ICAT) ‘Transformational Change Guidance: Guidance for Assessing the Transformational Impacts of Policies and Actions’.

Two NSPs agreed to test the application of the Guidance. Both NSPs were highly motivated at first and invested more resources than initially suggested by the ICAT team. However, both NSPs decided to discontinue the piloting process in 2019 due to a lack of support and follow-up from researchers,

unclear benefits from further participation as well as resource-intensive requests that would have overstretched the capacities of the NSP (e.g. in one case the preparation of a 70-page case study).

The NSPs commented that the Transformational Change Guidance:

- Does not sufficiently reduce the complexity of transformational change to a level that would allow for a lean assessment process;
- Does not, effectively, provide sufficient guidance through the assessment process; and that it
- Does not match with the logic of complex projects that intervene on multiple levels within a wide stakeholder landscape and different timelines of actions.

If the Guidance were leaner with a simplified yet coherent methodology, it might be helpful for project design of single policy interventions. The NSPs do not recommend making this Guidance part of the NAMA Facility requirements for NSPs.

Finally, the TSU has engaged with two new platforms which also focus on aspects of transformational change: The *CIF-Technical Assistance Facility Partner Network* has been established in London in November 2019. The *Climate Funds Collaboration Platform on Results, Indicators and Methodologies for measuring impact* has been initiated by the Secretariat of the GCF in December 2019.

1.7 TSU

1.7.1 Staffing

2019 has been the first year in which the TSU was wholly staffed by GIZ. Until now, unfortunately, no further senior climate finance expert could be seconded by any of the Donors. It would be highly welcome if expert secondments by the Donors to the TSU could occur again.

There is a continuous yet normal fluctuation of staff at the TSU that continues to consist of a Head of the TSU, one financial controller, 5-7 Desk Officers, 1-2 junior advisors and up to two interns. For the future, the TSU projects and envisages at maximum a modest increase in staff. The TSU will closely monitor the staffing situation and report back to Donors as appropriate.

Establishing and updating relevant documents on the portfolio level such as the working definition on Transformational Change, the M&E Framework and the Theory of Change are providing the TSU with useful guidance. As the first NSPs from the Calls 1 and 2 will close in 2020, the TSU will then also have the full visibility of topics which may arise over the life cycle of NSPs. In addition, as new NSPs will from then onwards probably be occurring at a comparable number to the closing of existing ones, the overall NSPs to be handled should then also be reached.

At the same time, the TSU is continuously refining its range of services to the Donors, the NSPs as well as the wider public which is since 2019 documented in regular intervals to the Donors by means of the TSU Annual Work Plan.

1.7.2 Internal Sustainability Guidelines

The TSU follows guidelines for its internal sustainability that were developed in 2018 with the aim to conserve resources and protect the environment while pursuing the TSU's activities. While a number of rules exist at GIZ (in particular in terms of sustainable travel management, where the means of transport must be chosen "in accordance with the principles of economic efficiency and environmental compatibility"), the TSU staff voluntarily commit to more: the most resource-efficient and environmentally friendly behaviour possible in the context of the TSU's operations.

In terms of travel management, and more particularly flight options⁵ (e.g. when travelling to onsite assessments), this translates into an avoidance of business class flights in intercontinental travel and a preference of sustainable airlines and direct flights. Wherever possible, trips are also combined (e.g. when two or more onsite 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 onsite assessments. In the last three Calls, they amounted to the following total emissions: around 22t CO₂ in the 4th Call, around 13t CO₂ in the 5th Call, and around 48t CO₂ in the 6th Call.⁶

In terms of travel accommodation, the TSU staff give priority to sustainable options where available.

The internal TSU Guidelines also cover aspects of efficient use of human resources and sustainable use of material resources:

- Efficient use of human resources refers to reducing e-mail, management of workload, etc.;
- Sustainable use of material resources refers to the application of general sustainable behaviour at the office, such as saving paper, sustainable event management, etc.

2 Outcome assessment

“NAMA Support Projects demonstrate that climate finance can effectively support transformational change in partner countries – including implementation of NDCs”

The NAMA Facility’s demonstration that climate finance can effectively support transformational change in partner countries, reduce greenhouse gas emissions and enhance low carbon development depends on the successful implementation of individual NSPs.

Not all NSPs that are approved for implementation can begin implementation right away: delays are caused, for example, by the necessity for some NSPs to sign IPAs and IAs. At the end of 2019, the NSPs and components in Table 2 were operational and had the potential to contribute results and lessons learned.

Target values at the NAMA Facility level were slightly updated in 2019 to reflect that several NSPs have been approved for implementation. However, of these only one NSP already delivered an M&E plan and therefore only these have been included. The target values of the remaining NSPs will be included as soon as they enter implementation and present an M&E plan.

The NSPs did make good progress in 2019, achieving revised milestones for indicators M3, M4 and M5. While revised milestones for M1 and M2 were not achieved, outcomes still increased drastically.

⁵ For travel times under 4h, the train has first priority in accordance with GIZ rules.

⁶ Data provided by GIZ travel agency (which uses DEFRA model for calculation) and completed by data from atmosfair.de.

NSP	component	status
Mexico Housing	TC	concluded
	FC	operational
Costa Rica Coffee	FC & TC	operational
Colombia Transit-Oriented Development	FC & TC	operational
Indonesia Transport	TC	operational
	FC	not operational
Chile Renewable Energy	TC	operational
	FC	not operational
Peru Transport	FC & TC	operational
Thailand Refrigeration and Air Conditioning	FC & TC	operational
Colombia Refrigeration	TC	operational
	FC	not operational
South Africa Public Buildings and Infrastructure	FC & TC	operational
	FC	not operational
China Waste Management	TC	operational; no FC component
Thailand Rice	TC	operational; limited implementation ⁷
	FC	not operational
Mexico SME Energy Efficiency	FC & TC	operational, limited implementation
Tunisia Clean Energy in Buildings	FC & TC	operational; limited implementation ⁸
Brazil Beef	FC & TC	not operational
Mexico Sugar Mills	FC & TC	not operational
Guatemala Cookstoves	FC & TC	not operational
The Gambia Grid-Connected Solar	FC & TC	not operational

Table 2: Operational status of NSPs at the end of 2019

The NAMA Facility's outputs (see chapter 3) depend both on NSP performance and on the TSU. The milestones for a number of the outputs were achieved:

- 1.1: Number of countries bidding in geographic regions
- 1.2: Percentage of NSPs submitted that are assessed as eligible
- 2.3: Ratio of public, private and co-funding mobilised versus NAMA Facility funding provided
- 3.1: Develop knowledge and lessons-learned strategy and review annually
- 3.2: Number of lessons learned events organised / funded each year
- 3.3: Number of good practice examples published each year
- 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 technical assistance
- 5.2: Number and type of mitigation co-benefits
- 5.3: Percentage of NSPs with operational M&E plans

For some of the indicators presented in sections 2 and 3, the NAMA Facility did not achieve its milestones for 2019. This is due to a combination of effects:

- Some of the NSPs (or NSP components) started with a substantial delay. They might ultimately achieve their targets, but definitely at a later date than initially envisaged. While the milestone revision addresses delays at or before NSP start, it does not address delays during implementation (for example, during set-up of financial mechanisms).
- Some of the NSPs have been overly optimistic when setting their targets.

⁷ IPA not yet signed

⁸ IPA not yet signed

See also the risk section in section 5 on page 42.

2.1 Greenhouse gas emission reduction

year	baseline	reported	target
2012	0		
2013		0	
2014		0	
2015		0	
2016		37,469	
2017		115,803	
2018		271,712	
2019		972,818	1,588,322
2022			8,102,170
2024			15,390,833

Table 3: Outcome indicator M1 – GHG emission reduction in t CO_{2e}

The reported outcome increased almost fourfold between 2018 and 2019. The highest individual contribution comes from China Waste Management.

The M1 target values are based on a combination of the revised milestones (see section 1.5), NSP target values from reports, M+E plans and NSP Proposal. Target values are based on 12 NSPs in implementation (the remaining five not being operational yet) and have therefore slightly increased compared to the Annual Report 2018.

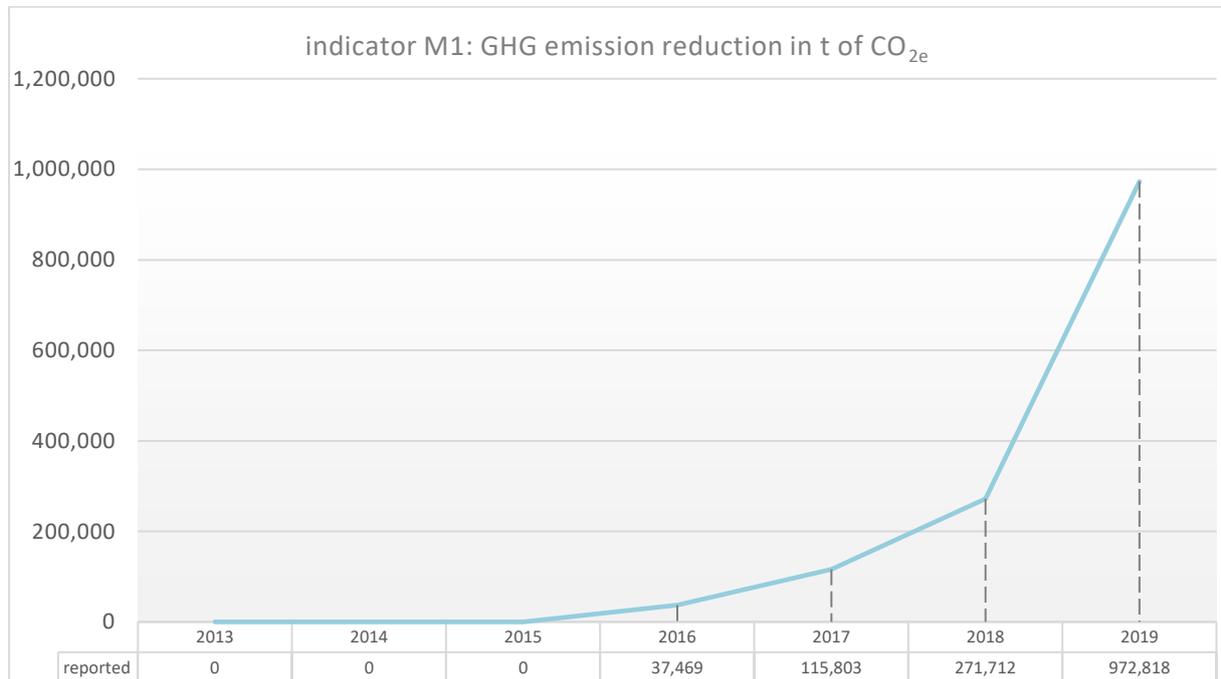


Figure 2: Outcome indicator M1 – GHG emission reduction in t CO_{2e}

Target values for 2019, 2022 and 2024 indicated above are based on both NSP outcomes and NSP impacts for two reasons: (1) the life-time of technologies promoted by the NSPs is more than five years, which is the maximum NSP implementation period, and (2) some NSPs will be completed by 2022. Therefore, especially values for 2024 present a simple forward projection, based on projected annual mitigation effects of the individual NSPs at the end of their implementation period. The underlying assumption is that technologies put in operation during the NSPs' implementation will continue to

generate mitigation effects beyond the end of the NSP. In the future, the adjusted M&E plan introduced in 2019 will allow a better projection into the future, with an annual breakdown of figures.

In the Annual Report 2018, outcomes were composed of results by three NSPs. In 2019, these three continued to report results, while two NSPs contributed to the NAMA Facility’s M1 indicator for the first time. In the remaining NSPs, the reasons why no mitigation effect is reported differ:

- Five NSPs approved in 2019 are not yet operational.
- For four NSPs, the implementation phase has been too short to generate results (see section 1.1). Results are expected in the future.
- NSP-specific issues:
 - In one NSP, outcomes depend on the availability of feasibility studies which are delayed; these studies will be finalised in 2020.
 - One NSP continues to suffer huge delays and has not yet generated outcomes.
 - In one NSP, there is a huge delay between the FC and TC components. The FC is expected to be operational soon. Since the M1 indicator depends entirely on the FC, no outcomes have been reported.
- Some NSPs report outcomes according to their original programme offer and initial logframe, which refers to results in the overall transport sector NAMA (and not to the NSP only).

2.2 People directly benefitting from NSPs

year	baseline	reported	target
2012	0		
2013		0	
2014		0	
2015		0	
2016		162,339	
2017		173,214	
2018		229,034	
2019		314,291	715,550
2022			17,164,517
2024			23,520,573

Table 4: Outcome indicator M2 – People directly benefitting from NSPs

The reported outcome increased by 37% between 2018 and 2019.

The M2 target values are based on a combination of the revised milestones (see section 1.5), NSP target values from reports, M+E plans and NSP Proposal. Target values are based on twelve NSPs in implementation (the remaining five not being operational yet, or not having delivered and M&E plan) and have therefore slightly increased compared to the Annual Report 2018.

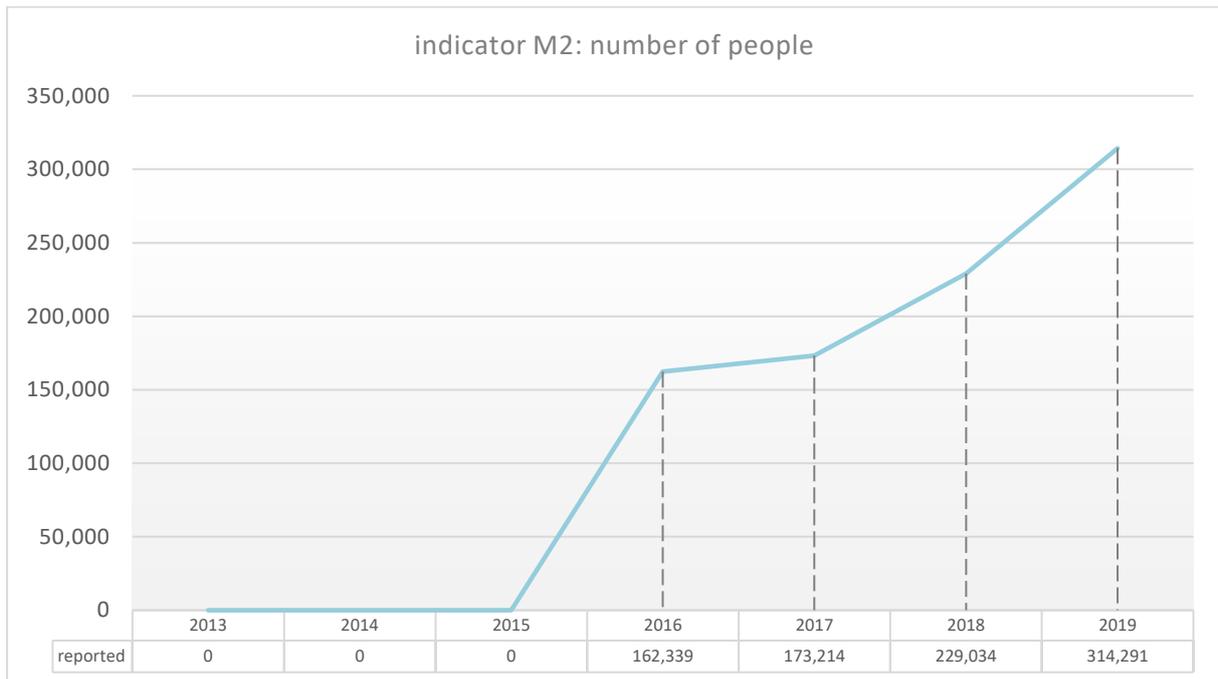


Figure 3: Outcome indicator M2 – People directly benefitting from NSPs

In the Annual Report 2018, five NSPs contributed to the M2 indicator. In 2019, these continued to report increased numbers of beneficiaries while two NSPs reported outcomes for the first time. For the remaining NSPs:

- Some NSPs are reporting outcomes according to their original programme offer and initial logframe, which refers to results in the overall sector NAMA (and not to the NSP only). The TSU decided to not include these numbers in the overall sum because a direct causal effect by the NSP cannot be established at this time.
- Two NSPs have not been operational for a sufficient amount of time to generate results.
- One NSPs continues to suffer huge delays and has not yet generated outcomes.

2.3 Degree to which the supported activities are likely to catalyse impact beyond NAMA Support Projects

The target for 2019 (1 NSP level 1; 5 NSPs level 2; 4 NSPs level 3) was met.

This qualitative indicator continues to be among the indicators posing most challenges for operationalisation. The NAMA Facility’s M&E framework states that NSPs should monitor signs that indicate transformation; however, that a transformation actually occurred may only be apparent after the end of the NSP.

A specific challenge with regard to target setting are the long time horizons: NSPs in the transport sector expect that a significant share of the mitigation effects will only be realised after the end of these NSPs since transport infrastructure has a comparably long planning horizon. The expected transformational effect will therefore most likely only take place after the official end of the NSP.

In 2019, two additional NSPs were included in this indicator. Three NSPs reported higher values for 2019 than for 2018. 2019 is also the first year in which an NSP reports level 4 (“Clear evidence of change – transformation judged very likely”); this judgement is based both on recent national policy developments and of developments supported in the past.

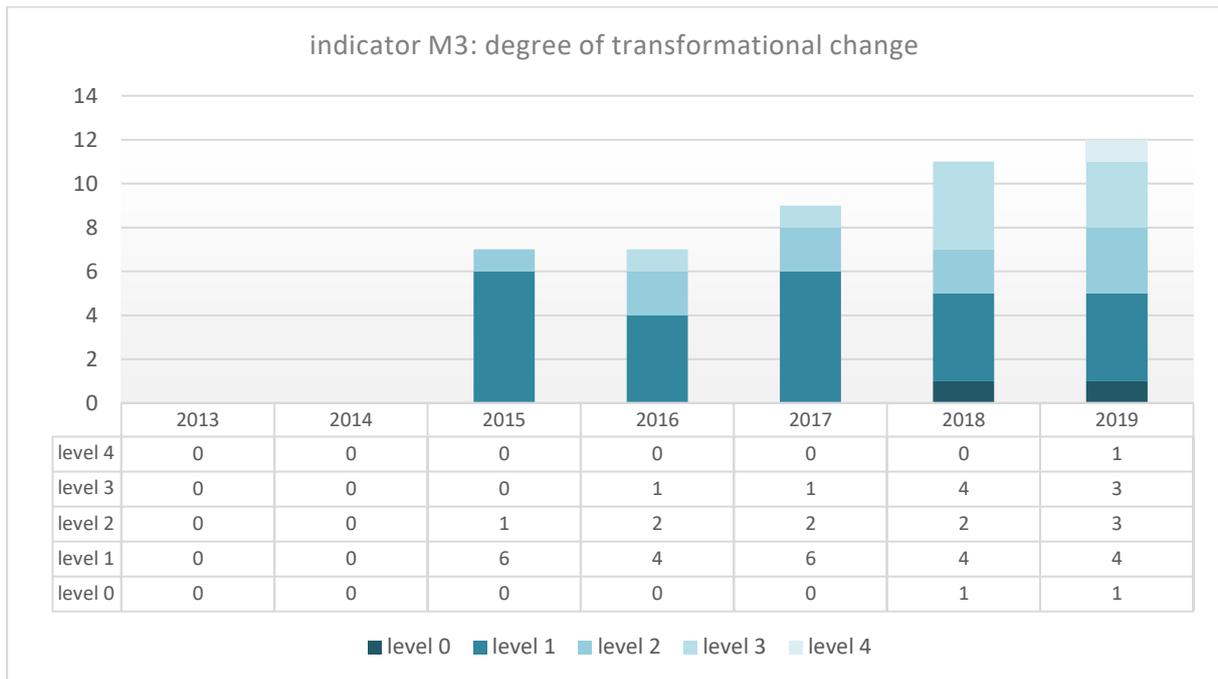


Figure 4: Outcome indicator M3 – Degree to which the supported activities are likely to catalyse impact beyond NAMA Support Projects. Number of NSPs indicated for each degree.

3 Output assessment

3.1 Output 1

“The NAMA Facility is established as an effective and efficient mechanism to support mitigation actions – including implementation of ambitious and transformative NAMAs and NDCs”

The 6th Call for NAMA Support Projects with an earmarked funding of up to EUR 80m was closed on 15 March 2019 and attracted 51 NSP Outline submissions.

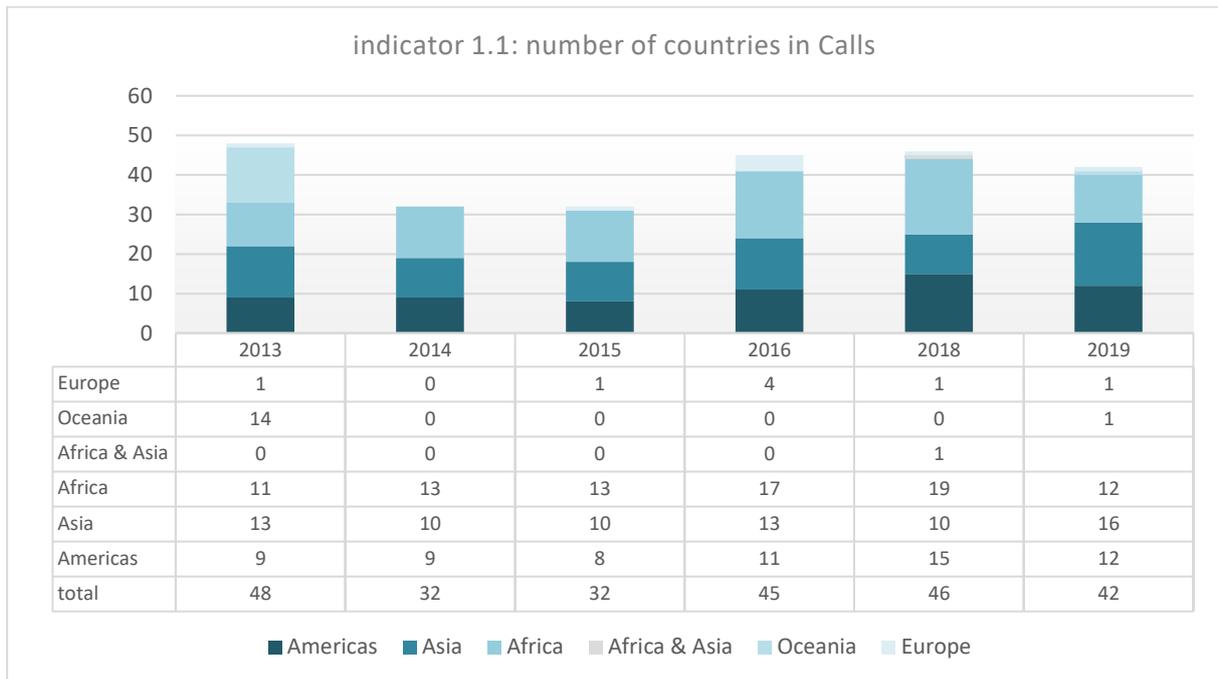


Figure 5: Output indicator 1.1 – Number of countries in Calls. Note that there is no value for 2017 because the 5th Call was open until March 15 2018.

The target for indicator 1.1 is 30 countries. This target was overachieved in each Call since the NAMA Facility was launched. In the 6th Call, 42 countries submitted NSP Outlines.

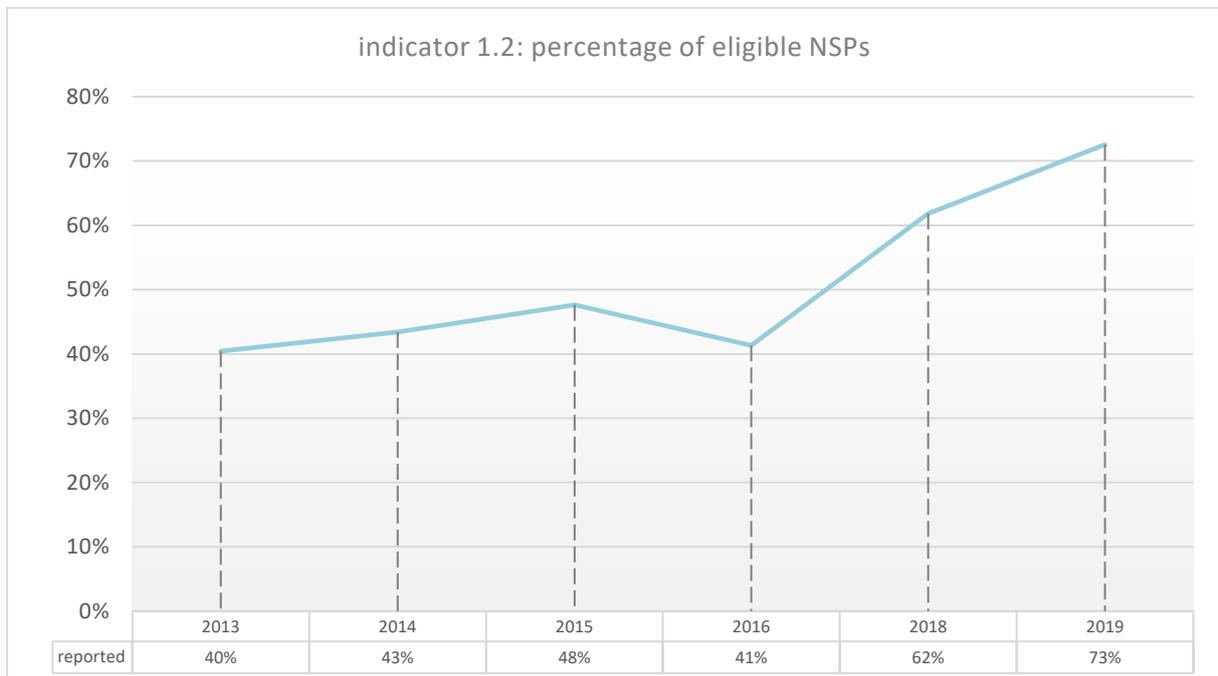


Figure 6: Output indicator 1.2 – percentage of eligible NSPs in Calls. Note that there is no value for 2017 because the 5th Call was open until March 15 2018.

The target for indicator 1.2 of 50% for 2019 was overachieved in the 6th Call, as 37 out of 51 met the formal eligibility criteria. The target was achieved for the second consecutive Call.

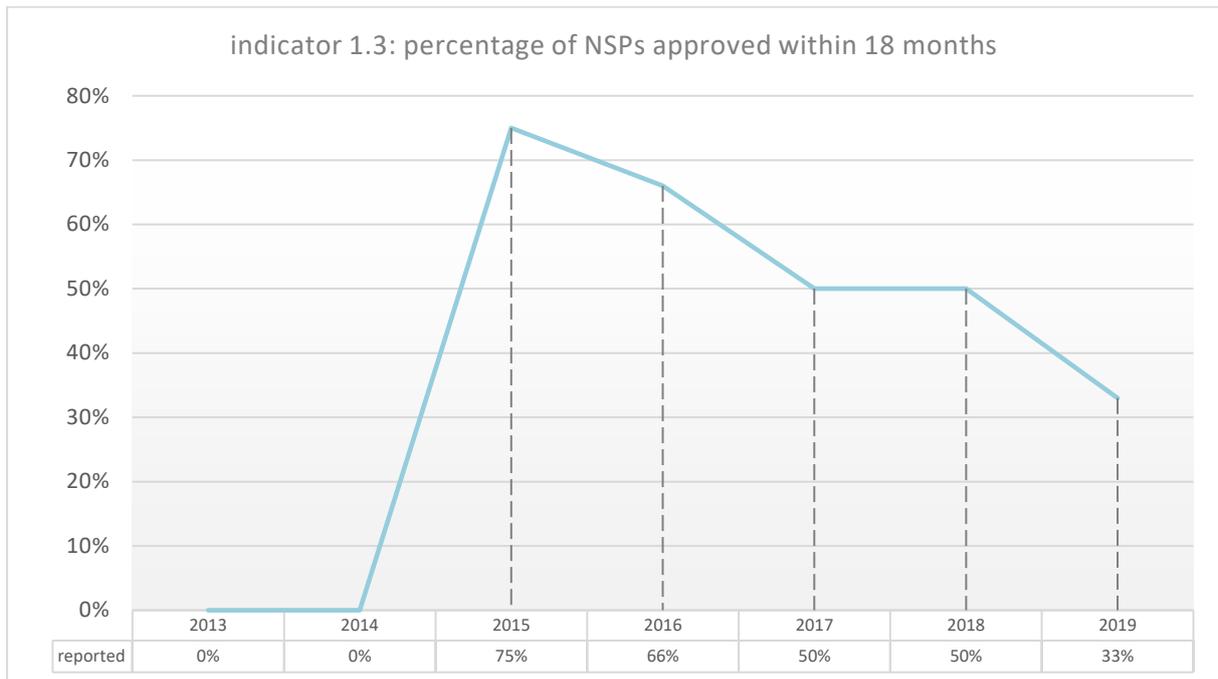


Figure 7: Output indicator 1.3 – percentage of NSPs approved within 18 months

In 2019, six NSPs were approved for implementation. The time between NSP Outline selection and approval for implementation ranged between 24 and 37 months. The overall value across all NSPs approved for implementation decreased therefore to 33%.

The target for indicator 1.3 for 2019 of 63% was thus not achieved.

One factor contributing to approval times of more than 18 months is that the DPP itself could take up to 18 months in Calls 4 and 5, thereby automatically exceeding the 18-months-period from selection to approval. In the 6th Call, the maximum duration of the DPP was limited to 15 months – however, a one-month period between DPP phases 1 and 2 for Donor’s decision about continuation of the DPP must be added. It therefore follows that, if the indicator is to be met, all steps prior to the beginning of the DPP (for example, DPP grant contracting) and all steps after conclusion of the DPP (NSP Proposal evaluation and Board Meeting for decision-taking) must be concluded in a total time of two months.

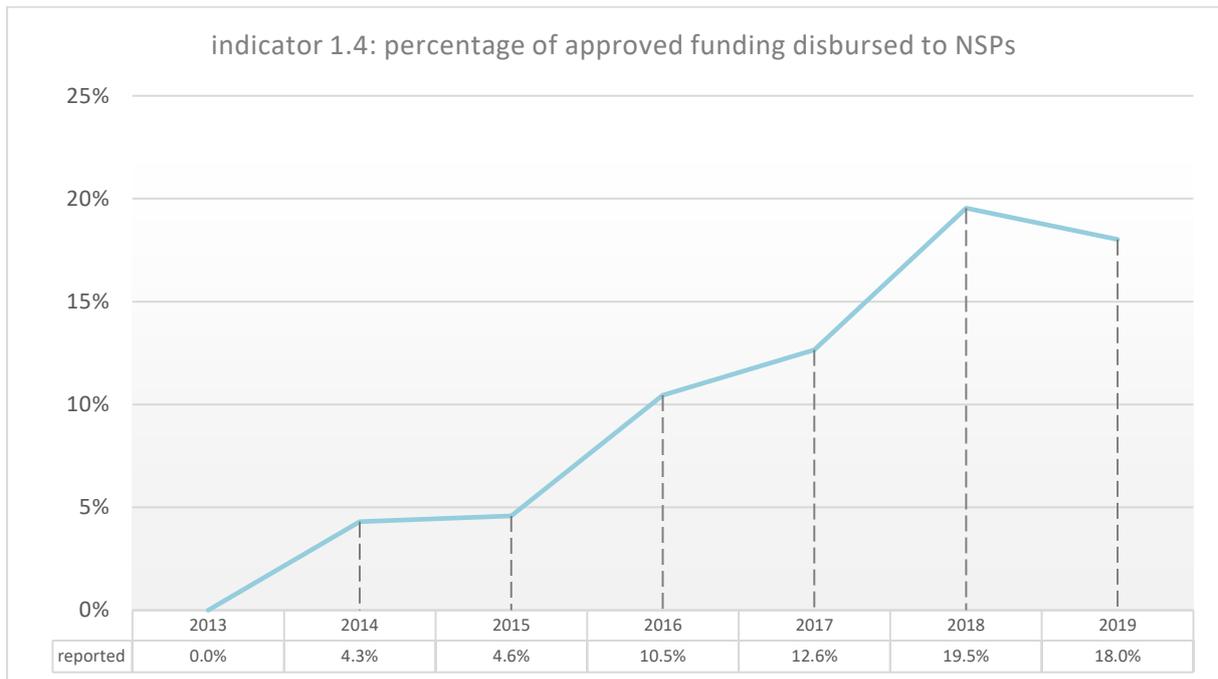


Figure 8: Output indicator 1.4 – percentage of approved funding disbursed to NSPs

Indicator 1.4 measures the amount of funding disbursed to NSPs vs. the amount of funding approved for their implementation. The indicator reflects how swiftly the NAMA Facility can deliver funding for the NSPs that have been approved for implementation. The indicator depends on the specific instruments used in NSPs (e.g. financial instruments tend to absorb larger funding amounts at once than technical assistance measures, which tend to have more even spending), on implementation capacities of applicants and implementing partners, on timing of approval in a given year as well as on the processes within the NAMA Facility (e.g. signing of intergovernmental project agreements).

In 2019, one NSP maintained its high spending level mainly due to its fully operational financial mechanism. In other NSPs, financial mechanism and, therefore, disbursements, are delayed. In addition, the indicator value decreased since six NSPs were approved for implementation in 2019 but not all are operational yet.

3.2 Output 2

“Additional public and private finance leveraged for low carbon development in NAMA Support Countries”

3.2.1 Volume of public finance mobilised for low-carbon investment and development

year	baseline	reported	target
2012	0		
2013		0	
2014		0	
2015		23,000,000	
2016		113,745,500	
2017		123,195,281	
2018		128,054,295	
2019		181,414,876	18,418,244
2022			442,852,179
2024			640,891,746

Table 5: Output indicator 2.1 (M4) – Volume of public finance mobilised for low-carbon investment and development in EUR

The reported outcome increased by 41% between 2018 and 2019. The target for 2019 has been overachieved.

As in previous years, the NAMA Facility follows guidance by OECD on reporting finance leveraged. It should be kept in mind that such reporting is rarely possible in a standardised and uniform manner, partly because information is incomplete, and partly because financing modalities and financial flows are complex.

ODA funding is considered separate from the NAMA Facility leverage and is generally not included in leveraged figures in order to avoid double counting. However, there are no mechanisms to avoid that other sources of finance, including national public finance, are not equally reported by other contributors of ODA.

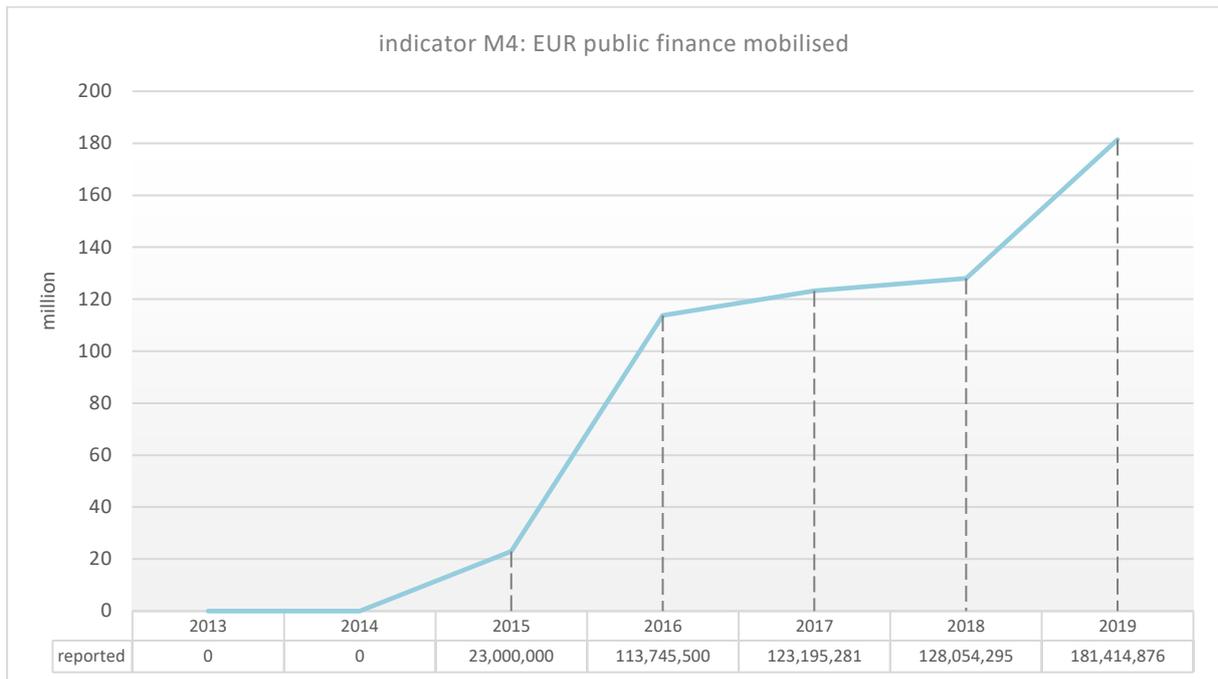


Figure 9: Output indicator 2.1 (M4) – Volume of public finance mobilised for low-carbon investment and development

The figures are subject to the uncertainties outlined above. Five NSPs contributed to this indicator in 2019, compared to two in 2018 and one the years before.

3.2.2 Volume of private finance mobilised for low-carbon investment and development

year	baseline	reported	target
2012	0		
2013		0	
2014		0	
2015		0	
2016		16,544,800	
2017		57,671,459	
2018		96,363,494	
2019		215,958,296	161,015,528
2022			756,592,731
2024			1,061,109,825

Table 6: Output indicator 2.2 (M5) – Volume of private finance mobilised for low-carbon investment and development in EUR

The reported outcome increased by 224% between 2018 and 2019. The target for 2019 has been met. This indicator is based on reporting from five NSPs.

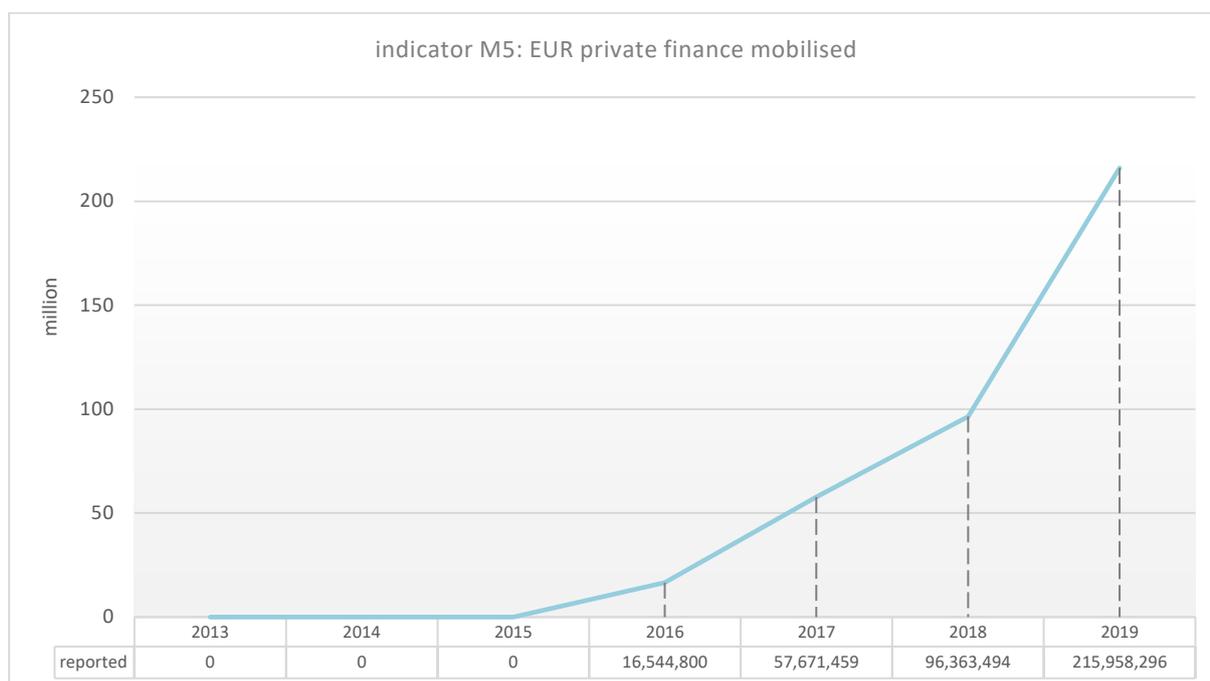


Figure 10: Output indicator 2.2 (M5) – Volume of private finance mobilised for low-carbon investment and development

3.2.3 Ratio of public, private and co-funding mobilised versus NAMA Facility funding provided

The requirement that Donor funding triggers and redirects public and private funding into low carbon investments is a key principle of the NAMA Facility. Indicator 2.3 measures the ratio of total leveraged financing volumes that includes financing referred to in indicators M4 and M5 as well as other co-funding (e.g. SECO co-financing for one NSP) vs. the overall NAMA Facility funding provided by Donors.

year	baseline	reported	target
2012	0		
2013		0.0	
2014		0.0	
2015		10.4	
2016		15.8	
2017		12.9	
2018		7.9	
2019		9.5	4.1
2022			14.1
2024			14.1

Table 7: Output indicator 2.3 – ratio of public, private and co-funding mobilised versus NAMA Facility funding provided

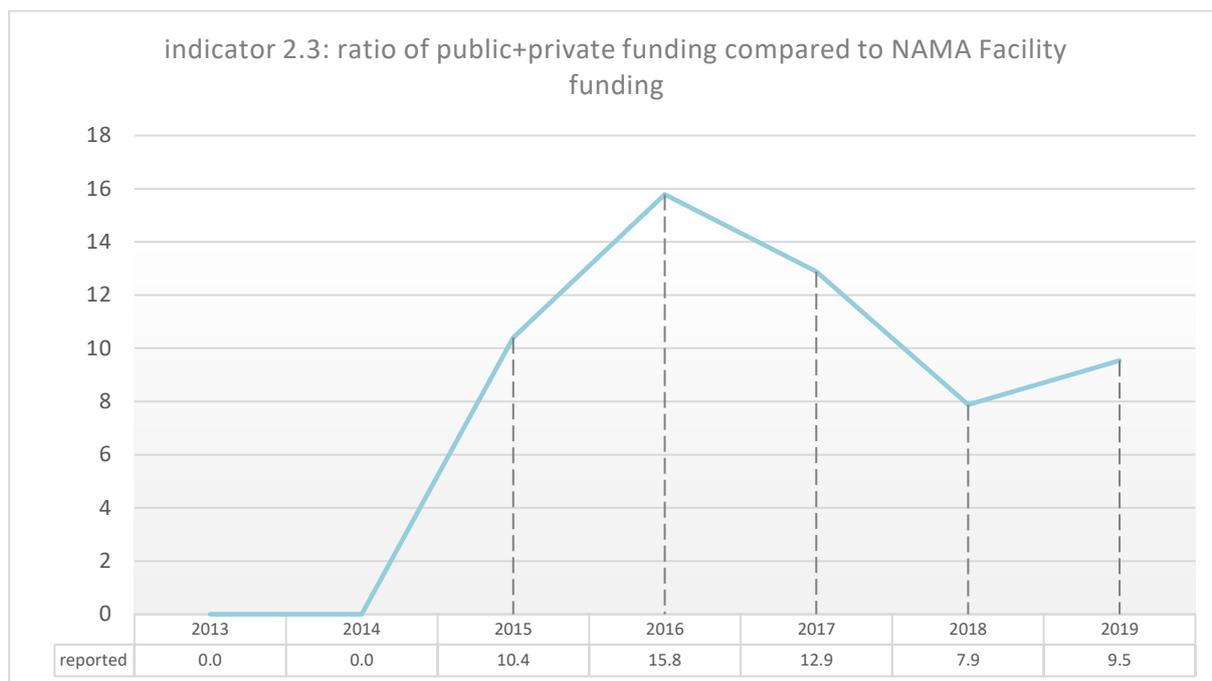


Figure 11: Output indicator 2.3 – ratio of public, private and co-funding mobilised versus NAMA Facility funding provided

3.3 Output 3

“The NAMA Facility shares good practices and lessons learned from NSPs to the global community”

3.3.1 Develop knowledge and lessons-learned strategy and review annually

year	baseline	reported	target
2012	0		
2013		0	
2014		0	
2015		0	
2016		0	
2017		1	
2018		1	
2019		1	1
2022			1
2024			1

Table 8: Output indicator 3.1: Develop knowledge and lessons-learned strategy and review annually. Please note that values for 2017 and 2018 refer to draft versions. Targets refer to the annual review.

As mentioned in section 1.4.1, the NAMA Facility’s knowledge creation strategy was approved in 2019. It will be reviewed in mid-2020, after 12 months of implementation.

3.3.2 Number of lessons learned events organised / funded each year

year	baseline	reported	target
2012	0		
2013		1	
2014		2	
2015		2	
2016		4	
2017		5	
2018		5	
2019		3	3
2022			3
2024			3

Table 9: Output indicator 3.2 – Number of lessons learned events organised / funded each year

The target for this indicator for 2019 has been met. The number of events, however, slightly decreased when compared to 2018.

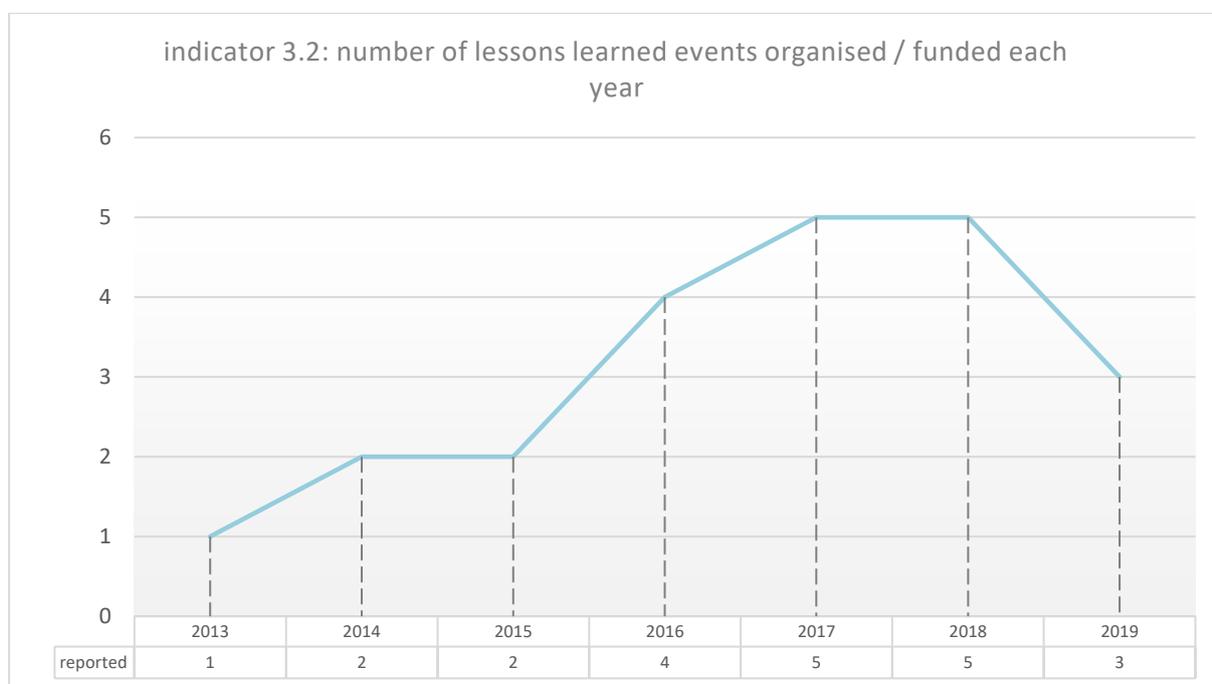


Figure 12: Output indicator 3.2 – Number of lessons learned events organised / funded each year

NSP workshop, Bonn

A two-day workshop of NSPs in implementation was organised in Bonn in June 2019. 17 NSPs were present. (See section 1.4.1.)

Workshop on transformational change in international climate finance, Bonn

In parallel to the Bonn Climate Change Conference 2019, NAMA Facility and CIF jointly organised a one-day workshop entitled “Learning About Transformational Change in International Climate Finance”. (See section 1.4.1. for more information.)

Virtual NSP meeting, November 2019

On 27 November 2019, the TSU organised a virtual NSP virtual meeting. The virtual meeting provided a space for the TSU to share information regarding the knowledge creation strategy and the upcoming

NSP mid-term and final evaluations with NSPs. The meeting also worked to facilitate the exchange of knowledge and lessons learnt amongst NSPs. This took the form of inter-NSP discussions, as well as presentations by two NSPs.

3.3.3 Number of good practice examples published each year

year	baseline	reported	target
2012	0		
2013		0	
2014		4	
2015		3	
2016		6	
2017		9	
2018		4	
2019		8	5
2022			5
2024			5

Table 10: Output indicator 3.3 – Number of good practice examples published each year

The target for this indicator for 2019 has been achieved.

The NAMA Facility offers formats, such as webinars, in which the audience has the opportunity to get actively involved as a means to ensure two-way communication. A webinar in September 2019 focused on the lessons learnt from the 6th Call.

In addition to the webinar, the NAMA Facility published a number of good practice examples on its website, for example, a final report about Mexico Housing TC. Two NAMA Facility publications were updated (4-pager and 6-year report).

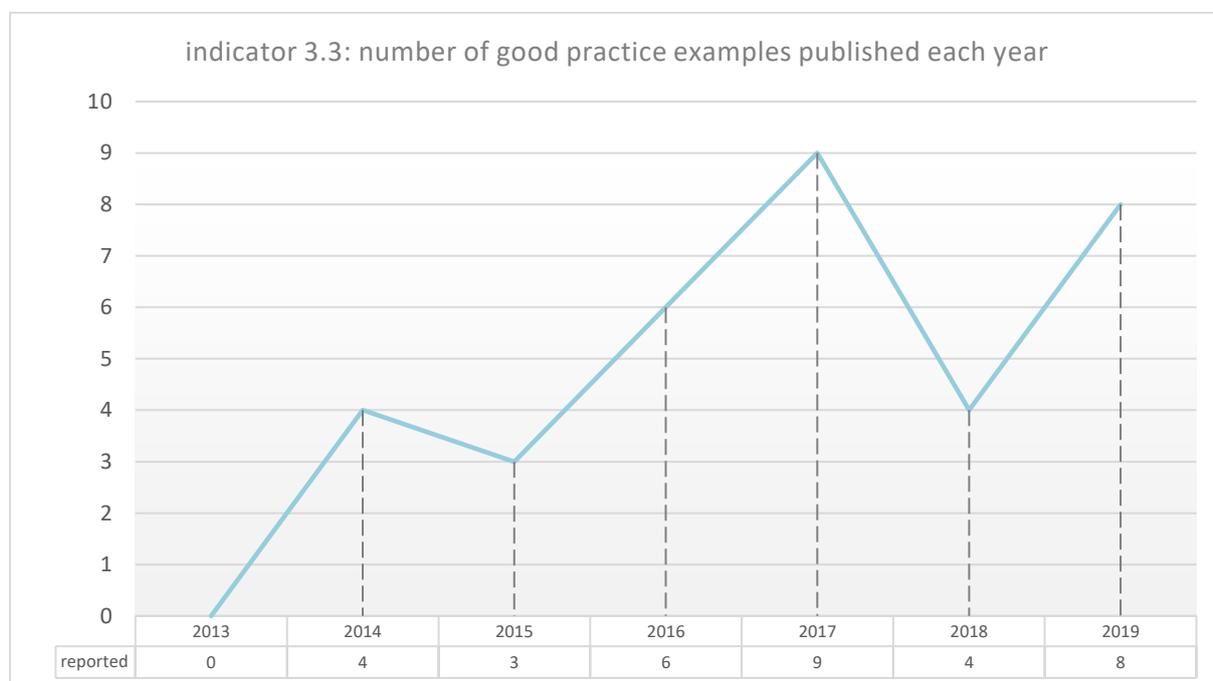


Figure 13: Output indicator 3.3 – Number of good practice examples published each year

3.4 Output 4

“National or local capacities and enabling environments to implement transformative NAMAs are in place”

3.4.1 Number of low-carbon policies, regulations or standards adopted or amended due to NSP support

Many TC components of NSPs support low-carbon policies, regulations and standards as a way to support transformational change.

Participation in MRV systems of partner countries continues to be an important topic for many NSPs. At least one NSP contributed to the successful introduction of a national sectoral policy.

The target for this indicator for 2019 has been achieved.

year	baseline	reported	target
2012	0		
2013		0	
2014		0	
2015		1	
2016		4	
2017		11	
2018		24	
2019		53	1
2022			28
2024			28

Table 11: Output indicator 4.1 – Number of low-carbon policies, regulations or standards adopted or amended due to NSP support

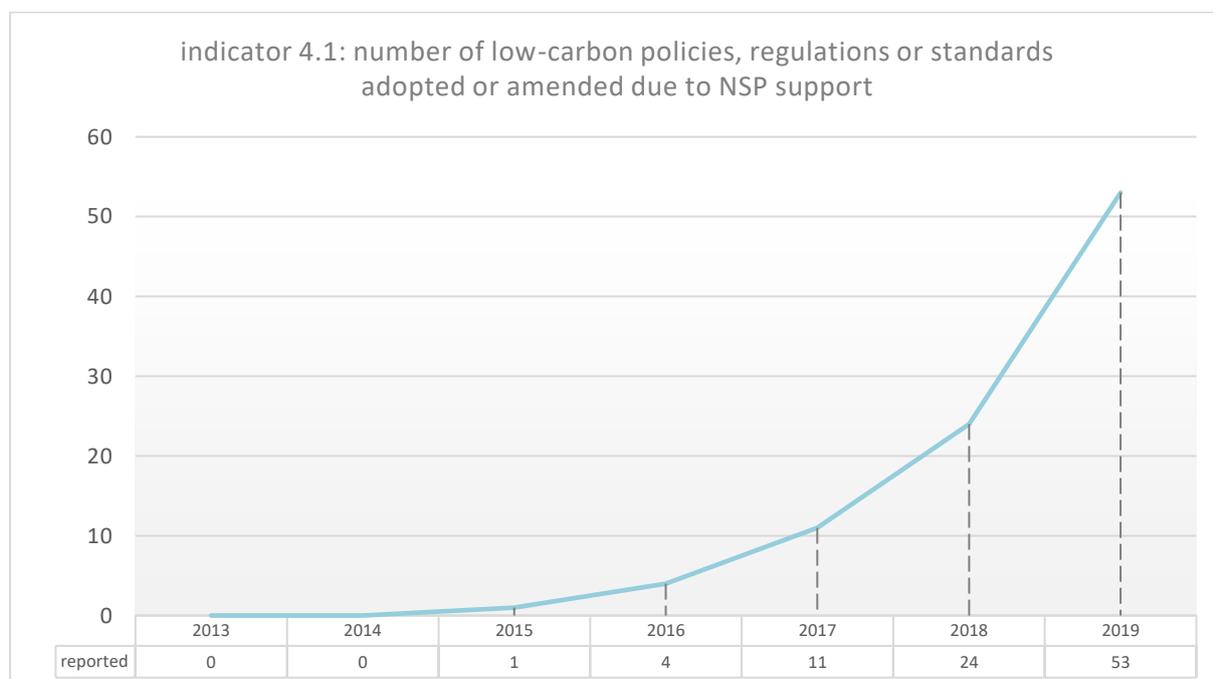


Figure 14: Output indicator 4.1 – Number of low-carbon policies, regulations or standards adopted or amended due to NSP support

3.4.2 Number of national or local institutions having received technical assistance

Almost all operational NSPs report on this indicator. The target for this indicator for 2019 has been achieved.

year	baseline	reported	target
2012	0		
2013		0	
2014		0	
2015		0	
2016		11	
2017		12	
2018		21	
2019		201	43
2022			56
2024			56

Table 12: Output indicator 4.2 – Number of national or local institutions having received technical assistance

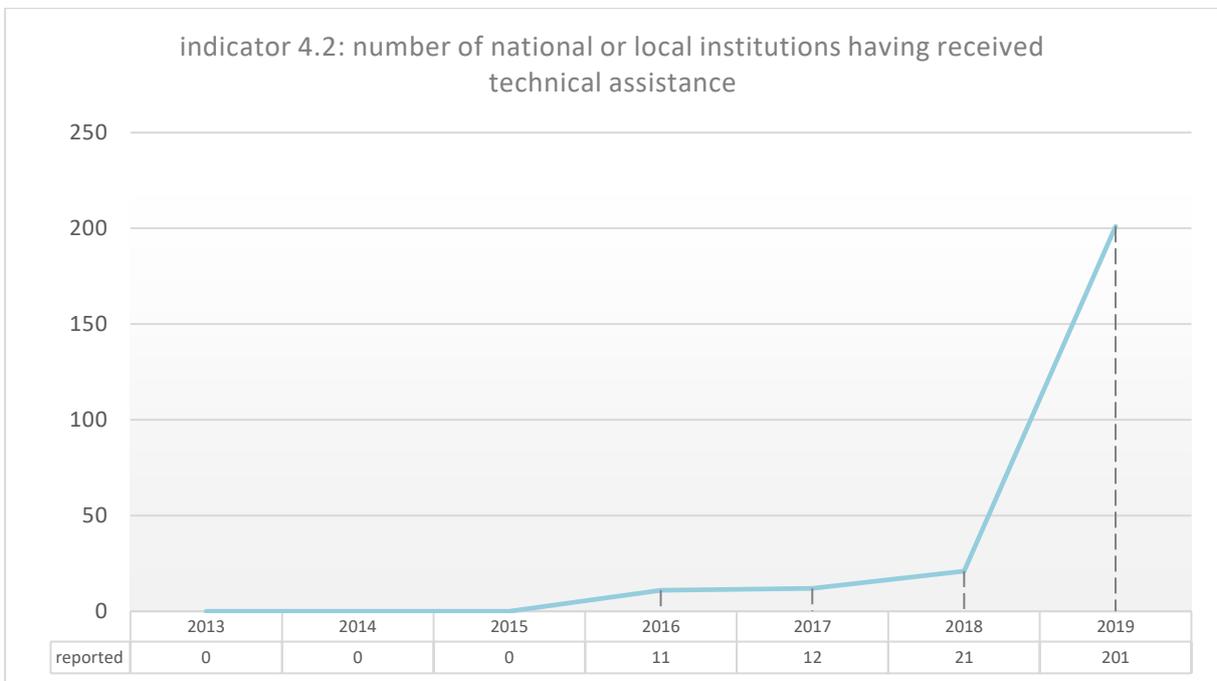


Figure 15: Output indicator 4.2 – Number of national or local institutions having received technical assistance

3.5 Output 5

“Partner countries implement and monitor transformative NSPs that produce sustainable co-benefits”

3.5.1 Number of NSPs completed according to the approved project outcome

year	baseline	reported	target
2012	0		
2013		0	
2014		0	
2015		0	
2016		0	
2017		0	
2018		0	
2019		0	0
2022			10
2024			11

Table 13: Output indicator 5.1 – Number of NSPs completed according to the approved project outcome

At the end of 2019, 17 NSPs were approved for implementation, nine of which are currently scheduled to have been concluded by 2022. Four NSP/NSP components are currently scheduled to end in 2023 or 2024. For a number of NSPs approved for implementation in 2019 the exact implementation period is not clear yet and will depend on the date at which the grant agreement between NSO and NFGA is concluded. (See also Table 3 on page Fehler! Textmarke nicht definiert..)

In 2017, the first component of an NSP was concluded. In 2018 or 2019, no NSPs or components were concluded. At the end of the reporting period, four NSPs / components are scheduled to end in 2020.

3.5.2 Number and type of mitigation co-benefits

year	baseline			reported			target		
	eco	env	soc	eco	env	soc	eco	env	soc
2012	0	0	0						
2013				0	0	0			
2014				0	0	0			
2015				0	0	0			
2016				0	0	0			
2017				0	0	0			
2018				1	0	1			
2019				24	20	18	0	0	0
2022							9	0	4
2024							9	0	4

Table 14: Output indicator 5.2 – Number and type of mitigation co-benefits

A number of NSPs reported mitigation co-benefits for the first time.

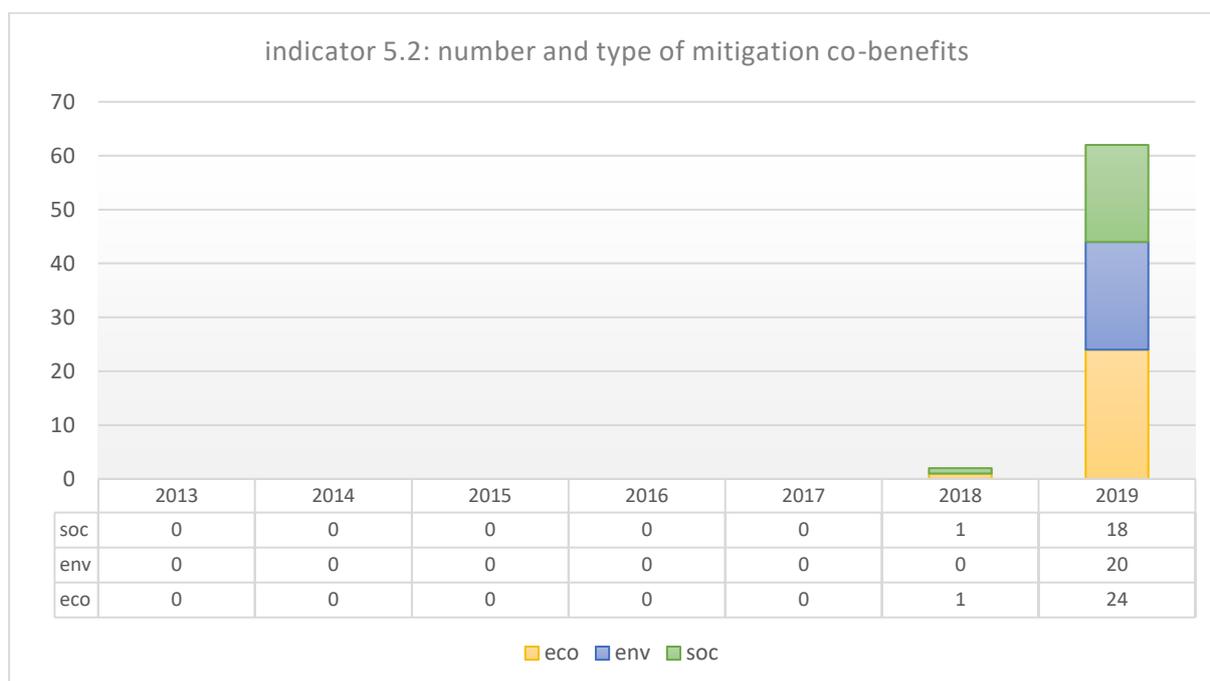


Figure 16: Output indicator 5.2 – Number and type of mitigation co-benefits

3.5.3 Percentage of NSPs with operational M&E plans

year	baseline	reported	target
2012	0		
2013		0	
2014		0	
2015		0	
2016		25%	
2017		33%	
2018		75%	
2019		100%	100%
2022			100%
2024			100%

Table 15: Output indicator 5.3 – Percentage of NSPs with operational M&E plans

This indicator reflects the intention to have a sound M&E application from the early phase of implementation. According to the NAMA Facility M&E Framework (as revised in 2018), NSPs are required to submit their M&E plans latest within three months of implementation. NSPs selected in the 2nd Call and later Calls have to submit an indicative M&E plan already with their NSP Proposal. NSPs from the 1st Call have been requested to adjust their individual M&E plans to the M&E framework guidance in retrospect.

Even though all operational NSPs have delivered an M&E plan according to the new template, these require further revision in 2020 in order to ensure reliable reporting and realistic milestones.

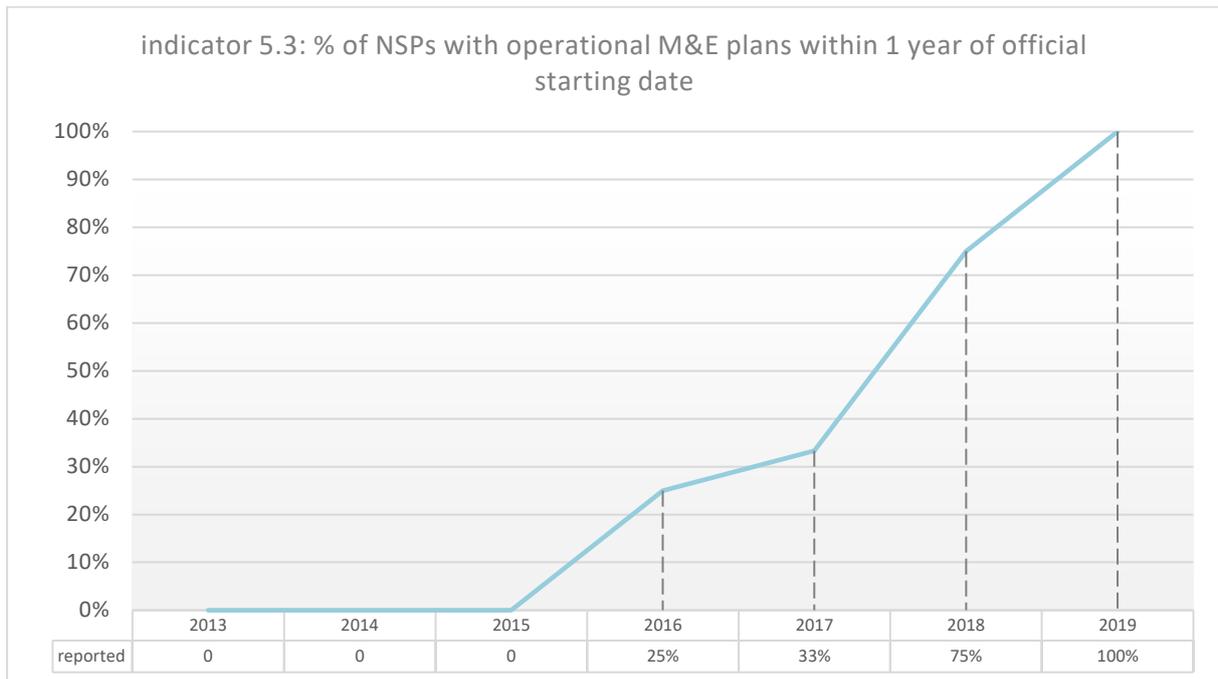


Figure 17: Output indicator 5.3 – Percentage of NSPs with operational M&E plans

4 Lessons learnt

The NAMA Facility encourages learning at all levels. NSP-specific lessons learnt are summarised in NSP reports, lessons learnt from implementing the 6th Call were mentioned in section 1.3.2. This section will focus on lessons learnt on NAMA Facility level during 2019.

In 2019, portfolio considerations became increasingly important to Donors during the selection of NSP Outlines and approval of NSPs for implementation. Amongst others, the adoption of the Ambition Statement for the Portfolio during Board Meeting 15 meant to provide increased guidance for decisions. In 2019, portfolio consideration contributed, for the first time, to Donors' decision to discontinue support of an NSP. During the batch 3 discussion of the 4th Call, Donors took into consideration the high number of energy efficiency projects in the current portfolio of the NAMA Facility. The NSP mentioned above was, amongst other reasons, not selected for its lower ambition compared to other NSPs. Portfolio considerations are also included in the Risk Appetite Statement, approved in December 2019, with statements on the country risk and the country concentration risk.

So far, external communication has focussed on messaging that the NAMA Facility does not focus on specific countries or sectors but supports the most ambitious yet feasible mitigation actions. Portfolio considerations might become a game changer for the NAMA Facility and might influence which applications the NAMA Facility receives. Thus, communication in future Calls should be sensitive to this aspect.

As of the end of 2019, 17 NSPs have been approved for implementation, so it is worth looking at overarching lessons learnt from NSP implementation:

For some NSPs, a disconnect on the timescale between FC and TC has been observed. The risk of delays in FC components is that synergies cannot be properly utilised, the momentum created by the TC (awareness, policy changes, project pipeline development) is lost and that additional TA resources are needed to implement the FC component.

This has been particularly notable in cases of different NSOs being responsible for implementation, and where the NSO did not have an active steering role in implementing the FC support mechanism.

In contrast, in some NSPs the TC was part of the steering structure of the FC support mechanisms, which strongly aligned TC support and the financial mechanism, with regular feedback loops between the TC and the FC. A takeaway for new NSPs is to ensure a stronger linkage between TC and FC e.g. by making the start of TA activities dependent on a functioning financial mechanism (e.g. as a condition in the BDD), and to ensure an active role of the NSO/DO in the steering structures of the FC mechanisms.

With regard to financial mechanisms implemented by NSPs, take-aways include that the time lapse between FC design and the start of implementation can require a verification and potential adjustments of the financial mechanism in the early phase of implementation to check whether market conditions, assumptions and barriers have changed. A certain amount of flexibility in the set up and even a testing of the market before full roll-out can help to ensure that the financial mechanism actually meets market demands and is taken up by the market.

In several cases, the slow uptake of financial mechanisms can be, at least partially, attributed to changed market conditions and slow reaction of the NSP to these changes. Some NSPs chose a more flexible approach, with feedback loops in setting up the financial mechanism, and started to test different channels for consumer finance at small-scale before the rollout.

Several NSPs aim to implement guarantee mechanisms. Early lessons learnt include that the set-up of a new guarantee fund is complex, time-consuming and requires specialised knowledge. For the success of the guarantee mechanism, two factors are crucial: (1) trust in the guarantor's ability to cover any defaults in a timely and un-bureaucratic manner, (2) costs of the guarantee. One NSP concluded that the guarantee offer was too cumbersome and not attractive to the market. Some financial mechanisms will only start much later due to a complex design phase with multiple institutions involved. At the end of the reporting period, the NAMA Facility was still awaiting a first success story from NSPs implementing guarantee mechanisms. This is at odds with the frequency of guarantee mechanisms in NSP Outlines and Proposals. Applicants are likely underestimating the challenges of setting up a successful guarantee scheme.

In 2019, all 4th Call NSPs finalised their DPP. As the 4th Call saw a major restructuring of the application process and NSP Proposal preparation process compared to the 3rd Call, it is worth looking at the lessons learnt from this. Take-aways from changes in the NSP selection process at NSP Outline stage have been addressed in previous reports from the NAMA Facility. For the NSP Proposal preparation process, the following elements were introduced in the 4th Call:

- Introduction of the DPP (up to 18 months, with a clear cut-off at which Donors could decide to eliminate the NSP from further consideration);
- A phased approach in the DPP with conditions on expected results for DPP Phase 1.;
- Provision of the DPP expert pool on financial mechanism and project design;
- Allowing the institutional set up to be clarified during the DPP;
- Introduction of an external plausibility check of the financial mechanism;
- Introduction of competition during the DPP; and
- Batch discussions of NSP Proposal assessment.

The introduction of the clear cut-off deadline has helped to speed up project preparation time. Of the eight NSPs that went into the DPP, five submitted their NSP Proposal within 18 months of the Board Decision. As this also includes contracting for the DPP and processing time for the approval of the interim report, these NSPs have managed to finalise the NSP Proposal significantly faster than 18 months. Three NSPs submitted their NSP Proposal within 21-23 months of the Board decision. A lesson learnt from the process was that DPP contracting takes on average 3.5 months – longer than initially anticipated. In the 6th Call, to speed up the contracting process and avoid lengthy negotiation

procedures, Donors included a six-month cut-off deadline for NSPs to enter the DPP. Additionally, the maximum DPP period was shortened to 15 months.

The phased approach in the DPP was developed to monitor progress throughout the DPP and to enable a discontinuation of support, if insufficient progress is demonstrated. Within six months of the DPP, NSPs have to provide an interim report with evidence on the fulfilment of pre-defined conditions (spelled out in the notification letter) and overall progress. Donors can decide to discontinue support of the DPP at this stage. All 4th Call NSPs submitted the requested report on time and received approval to proceed with the DPP Phase 2. Aside from ensuring progress control by the TSU and Donors, this phased approach made it possible to provide feedback to applicants and to flag concerns or gaps in the design of the NSP. In the case of two NSPs, this resulted in substantial conceptual revisions, leading to better alignment with the NAMA Facility expectations.

The contract for the DPP Expert Pool, which runs until June 2020, was not extended. The decision to discontinue the expert pool support was mainly based on mixed feedback from NSPs on their cooperation with the expert pool and more importantly the availability of (mainly financial) experts, which was insufficient. One of the most crucial lessons learnt from the cooperation with the Expert Pool is that NSPs require tailor-made support at relatively short notice – which a small pool of experts could not guarantee. For future Calls of the NAMA Facility, other modes of support might be tested.

The possibility to clarify the institutional set up during the DPP, including nomination of NSOs, helped in some cases to engage with more suitable partners than initially proposed in the NSP Outline stage. In the case of two NSPs, additional (and more suitable) NSOs were proposed for the implementation of the FC mechanism. This change helped decrease the number of ineligible projects during the Outline assessment, and provided more flexibility in finding a suitable partner. The requirement to nominate the NSO within three months of starting the DPP has been included as a standard process in the following Calls as well.

As part of the restructuring in the 4th Call, KfW left the NAMA Facility as a Delivery Organisation and withdrew its staffing commitment to the TSU. It was therefore decided to task an external consultant with a financial background to conduct a financial mechanism plausibility check during NSP Proposal assessment. For the assessments of the eight NSP Proposals from the 4th Call, six different consultants were involved, all identified through short-list tenders. Working results from the various experts differed in terms of quality and depth, sometimes requiring TSU assessors to align and interpret the recommendations. The particular benefit of the financial mechanism plausibility check is to have an external perspective on the financial mechanism's feasibility. In some cases the set-up of the financial mechanism was significantly improved.

During the 4th Call, a competitive element at end of the DPP was introduced and Donors took decisions on the approval/rejection of NSP Proposals in so-called batches. The competitive element was communicated to all applicants from the very beginning. More NSPs were selected for DPP support than could be funded in the 4th Call, and this over-programming necessitated competition at the Proposal stage.

Donors decided to approve six NSP Proposals for implementation and to reject two NSP Proposals from the 4th Call. The over-programming helped to communicate the rejection of NSP Proposals and generally maintain a high expectation level towards potential applicants. However, it challenged the Donors' decision-making on approval of NSPs for implementation because all NSP Proposals were handed in at different times; the set-up of batch discussions of NSP Proposals was to facilitate this process. In order to mitigate this challenge, Donors chose to slightly decrease the level of over-programming in the following two Calls.

Financial management of the NAMA Facility: The number of grant agreements (DPP and implementation) concluded between the NFGA and Applicants/NSOs has been increasing significantly

since the 4th Call. In 2019, several grant agreements ended and underwent auditing, and one lesson has already been learnt: While a very detailed budget can inhibit flexibility during implementation, clear guidance by the NFGA early on, during budget formulation, facilitates later invoicing of eligible costs. With this in mind, the TSU and the NFGA developed a more detailed budget structure for the 6th Call NSPs.

The mandatory procedures from the NFGA side foresee a yearly audit of payments invoiced by the contracting partner. In 2019, the TSU noted an increase in withheld payments after audit results were available. The TSU identified an enhanced need to provide advice and guidance by the TSU and/or NFGA to Applicants/NSOs on their financial reporting and preparation of audits. Depending on TSU internal capacities and acceptance from Applicants/NSOs, pre-audit checks and a pre-invoicing checks could be considered.

5 Assumptions and risks

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

5.1 Assumptions

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.
- The approved NSPs are implemented as intended and planned.

Output-specific assumptions are mentioned in the following subsections.

5.1.1 Output 1

For achieving Output 1 (“The NAMA Facility is established as a mechanism which efficiently allocates support to the implementation of ambitious and transformative NAMAs”), it is assumed that:

- Countries continue to develop NAMAs and to apply to the NAMA Facility for support.
- Donors continue to provide sufficient funding for the implementation of Calls of the NAMA Facility.
- Eligibility criteria for NSPs do not become more restrictive.
- NSPs are implemented as intended and in a timely manner.

5.1.2 Output 2

For achieving Output 2 (“Additional public and private finance leveraged for low carbon investments and development in NAMA Support Countries”), it is assumed that

- 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.

5.1.3 Output 3

For achieving Output 3 (The NAMA Facility shares good practices and lessons learnt from NSPs to the global community), it is assumed that:

- The TSU is operational and sufficiently staffed until 2027.
- There is a continued interest of the global community and Donors in the implementation of NAMAs.

5.1.4 Output 4

For achieving Output 4 (“National and local capacities and enabling environments to implement transformative NAMAs are in place”), it is assumed that:

- Institutions in partner countries have sufficient capacities to absorb and use technical assistance from the NAMA Facility.
- The enabling environment triggered by the NSP in partner countries is implemented and enforced beyond the NSPs direct intervention and lifetime.

5.1.5 Output 5

For achieving Output 5 (“Partner countries implement and monitor transformative NSPs that produce sustainable co-benefits”), it is assumed that:

- There are sufficient M&E capacities available.

5.2 Risk description

The risks mentioned below (and highlighted in previous Annual Reports) were again observed in 2019.

5.2.1 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 Donors, and low capacities at Delivery Organisations/NAMA Support Organisations 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 making IPAs a priority in the TSU.
- An intensified progress of agreement and monitoring of obligatory timelines with NSPs for the appraisals. Clear deadlines are applied for the Detailed Preparation Phases of NSPs selected in the 4th Call onwards.
- TSU and external support for any implementing partners having insufficient capacities for NSP implementation.

5.2.2 Contracting Third Party Delivery Organisations/NAMA Support Organisations

Since the responsibility of the implementation is with the Third Party DOs/NSOs, the NFGA 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 to ensure correct use of funds, higher effort is required for assessing eligibility, for evaluating NSOs and for auditing. The TSU has meanwhile gained experience for better managing the process involving Third-Party DOs. This risk is considered medium.

5.2.3 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 (such as the virtual meetings with the NSPs which take place twice a year). In addition, a revised improved version of the M&E Framework is in use since 2018. This risk is considered medium.

5.2.4 Deteriorating 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 Donors' embassies/ delegations and the GIZ country offices, and could potentially also include the early termination of NSPs. This risk is considered medium.

5.2.5 Lower mitigation impact and lower transformational potential than initially expected

The scope of influence is considered high, in particular before the approval of implementation of an NSP as Donors 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 onsite assessments), by explicitly communicating expectations prior to a Call and at the beginning of the appraisal phase/DPP, as well as close monitoring. This risk is considered medium.

5.2.6 Volatile development of the GBP/EUR exchange rate

As a significant share of Donor funding is provided in a currency other than EUR, and the NAMA Facility commits funding for NSP implementation in EUR, the volatile development of the GBP/EUR exchange rate increases the risk of a funding gap.

The risk materialised in 2018 (depreciation of the GBP) and was addressed through an allocation of additional funds from BEIS.

The future volatility of the GBP/EUR exchange rate may require further quantitative adjustments. This risk is considered medium.

5.3 Risk monitoring

In 2019, in consultation with Donors, the TSU began work on a more formalised risk monitoring and management approach for the NAMA Facility.

6 Budget allocation and expenditures

6.1 Total budget committed by Donors

The total budget committed by the Donors in 2019 is approximately EUR 467m.

6.2 Total budget committed for TSU, project preparation and appraisal

The total budget committed by the Donors for the TSU, appraisal/DPP and M&E is EUR 29,369,018.