Mitigation Momentum

NAMAs and Development Assistance:

Learning from traditional Aid practice to target challenges in NAMA development

Discussion paper

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Foreword

Development Assistance and NAMAs is one of three research papers produced for the first phase of the Mitigation Momentum project (2012-2014). It highlights insights from development assistance and maps these against a set of NAMA challenges. The aim is to promote a better understanding of the key overlaps between these two areas of work and to highlight the most relevant lessons learned which warrant further examination.

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Executive Summary

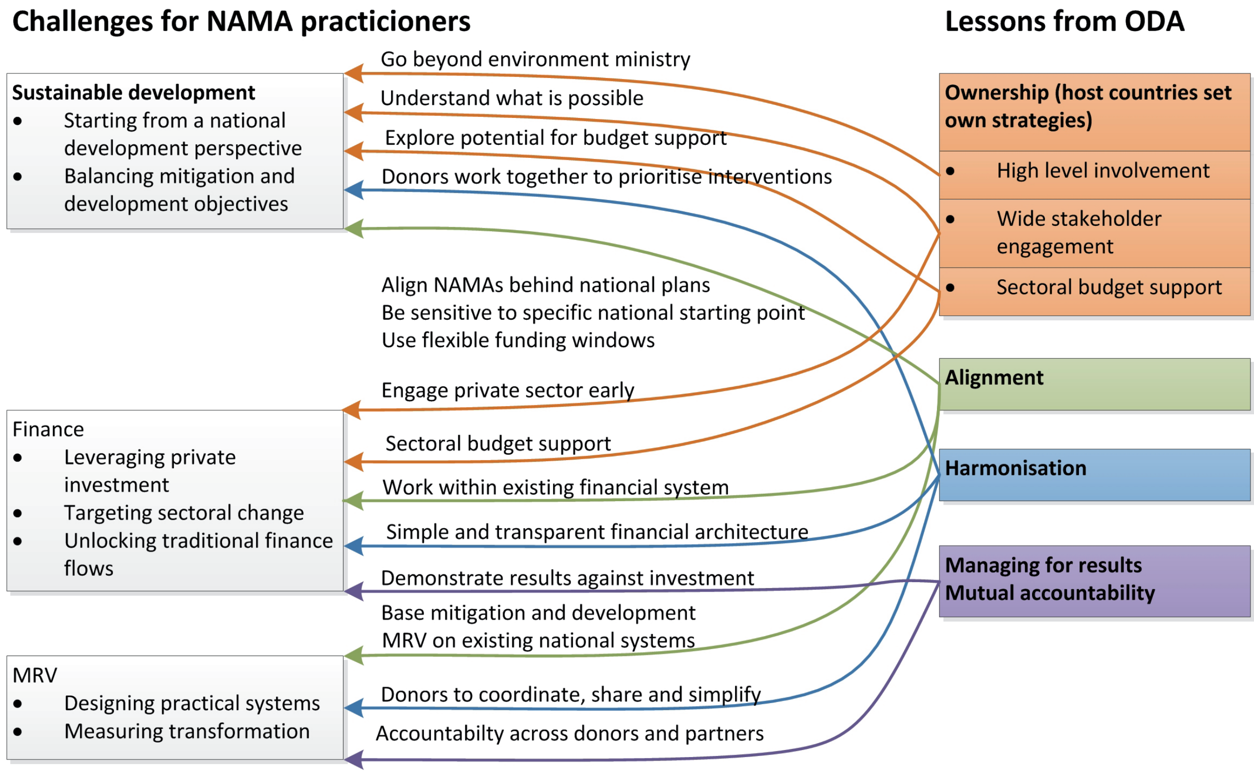
Nationally Appropriate Mitigation Actions (NAMAs) are usually considered separately from traditional development assistance projects and programmes because they emerged with the aim of driving change in climate-related mitigation sectors, where the need and potential for low-carbon transformation are widely recognised. This separation provides space for experimentation with innovative, nationally led approaches in green-house gas intensive sectors such as energy, transport and agriculture.

However, the analysis presented in this paper shows that there is a considerable overlap in the objectives, scope and financial support systems for traditional development assistance approaches and NAMAs. It is therefore proposed that sharing lessons learnt between the two areas is of vital importance, especially as NAMAs are a relatively new concept. Demonstrating that this two-way learning process is happening could help to build confidence and support for NAMA implementation going forwards.

Based on a mixture of desk research and semi-structured interviews with 14 experts from across the NAMA and development communities, this paper seeks to build a better understanding of the key similarities and differences between traditional development assistance approaches and NAMAs, and to identify priority areas for exchange and learning between the two areas, highlighting where further discussion and investigation are needed. The focus is on providing new insight and support for those working to develop and implement NAMAs. The key findings are as follows.

Traditional development assistance approaches aim to raise people in developing countries out of social, economic and, more recently, environmental poverty.

Official Development Assistance (ODA), which has existed for over 50 years, is the term used for the finance flows supporting this practice. Nationally Appropriate Mitigation Actions (NAMAs), which are understood to be voluntary government interventions in developing countries that reduce or limit greenhouse gas emissions, grounded in national development goals, first emerged in 2007 through the international climate negotiations. The NAMA support system for channelling finance from domestic, international and possibly credited market sources is still evolving. Like ODA, international support for NAMAs is a finance flow that supports sustainable development in poorer countries. Finance for NAMAs is a subset of what is often referred to as 'climate finance'



Mapping lessons from development assistance to NAMA challenges

This paper finds that the scope, objectives and financial support structures for traditional development assistance approaches and NAMAs overlap widely. The finance flows, for example, are extremely difficult to separate, and there is a shared objective to support nationally led sustainable development. The key difference is that development assistance approaches take poverty alleviation as their starting point, whereas for NAMAs the focus is on climate change mitigation grounded in national development goals. This means that the environmental emphasis for ODA tends to fall more on climate change adaptation - ensuring that people do not slide into environmental poverty as a result of climate change impacts.

However, the future level of overlap may grow depending on how far environmental sustainability is mainstreamed into ODA under the post-2015 Development Agenda discussions (renewable energy projects could be given increasing emphasis over traditional fossil fuel projects in certain circumstances, for example [Bruggink, 2012]), and on the short-term evolution of the NAMA concept, in particular the extent to which NAMAs become 'development-first' approaches (with mitigation impacts a co-benefit of the action).

Given the overlapping nature of traditional development assistance approaches and NAMAs, the experts interviewed for this paper all agreed that the lessons from over fifty years of traditional development assistance, as enshrined in the principles of Aid Effectiveness (Box A), are directly relevant to many of the challenges currently faced in NAMA development and implementation.

Clearly, the principles of ownership and alignment are already reflected at a conceptual level in the 'Nationally Appropriate' NAMA label. However, it was pointed out that operationalising this remains a key challenge for those working on the ground on NAMAs, alongside concerns over how to ramp up finance (and leverage private investment) and develop practical and robust systems for measuring, reporting and verification (MRV). The figure above shows how the insights of our interviewees on the Aid Effectiveness principles have been mapped to help overcome some aspects of these challenges.

Box A: Aid Effectiveness Principles

- ***Ownership*** (recipient countries set their own priorities);
- ***Alignment*** (donor countries align behind those priorities);
- ***Harmonisation*** (donors coordinate);
- ***Results*** (results are measured and acted on) and;
- ***Mutual accountability*** (donors and partners are accountable for results).

It is important to note that while traditional development assistance approaches have explored ways to support 'transformational' self-sustaining change at the whole sector-level, this has not been a central condition or defining factor, in the same way that it may become with NAMAs. Many of the interviewees felt that it was largely up to those working in the NAMA and climate space to forge new approaches in this area. In this paper we propose that that a set of NAMA guiding principles, based on those from Aid Effectiveness, could be developed to support best practice as these innovative aspects of NAMAs evolve. Such a set of principles would be politically viable in the context of the climate negotiations and would provide enough flexibility to allow for on-going experimentation, something that could be stifled by a top-down NAMA definition.

In the meantime, establishing a process of two-way learning could help to foster best practice both in the NAMA and development communities. As development assistance and NAMAs are largely discussed in separate international dialogue processes, it is possible that any relevant lessons and insights are not currently being effectively transferred. Looking at the longer term, a wider debate around how to better coordinate NAMA and development finance may be necessary - as recently highlighted by Lord Stern.[1]

Some immediate ideas on practical steps that can be taken to further embed the key lessons from development assistance outlined in this paper into NAMA practice are given in Box B.

Box B: Learning from traditional development assistance – priorities for key actors (based on insight from interviewees)

Those working directly on NAMAs can:

- Continue to reach out to development and implementation agencies in host countries to gain insight on national context and understand existing processes
- Be guided by in-country stakeholders
- Consider high level support as a pre-condition for action

Donors can:

- Make funding windows flexible to accommodate varied national policy timeframes, and transparent to prevent speculation over preferential bilateral relationships
- Work together, led by national host governments, on key aspects such as the development of MRV systems
- Forge links between development and environmental teams within their own organisations

National recipient governments can:

- Promote NAMA discussion beyond environmental departments and with a broad range of stakeholders nationally, including the private sector
- Openly share the lessons of development interventions in NAMA-related fora
- Foster better systems and approaches for donor coordination

[1] http://www.lse.ac.uk/GranthamInstitute/wp-content/uploads/2015/03/Stern-policy-paper-March-20151.pdf

1. Introduction

Over more than fifty years, traditional development assistance approaches have aimed to promote economic development and raise people in developing countries out of poverty. Official Development Assistance (ODA) is the term used for the finance flows supporting this practice. More recently, as sustainable development[2] gained momentum as a result of the 1992 Rio summit, there has been an increased focus on social equity and natural resource management and protection. Historically, climate change has been only a minor driver in ODA, but there is a growing recognition that climate change mitigation and development are intrinsically linked (Beg et al., 2002). For example, access to modern energy services for the poor and improved air quality can often be cost-effectively delivered using renewable energy technologies. Furthermore, evidence shows that it will not be possible to tackle climate change unless developing countries shift to a low-carbon development trajectory (UNEP, 2013).

Against this backdrop, a number of efforts aimed at aligning mitigation and development have evolved. Nationally Appropriate Mitigation Actions (NAMAs), which this paper focuses on, are one such approach.[3] NAMAs were introduced at the Bali conference of the United Nations Framework Convention on Climate Change in 2007 (UNFCCC, 2008), and they are still an emerging concept. NAMAs are understood to be voluntary government interventions in developing countries that reduce or limit greenhouse gas emissions, which are grounded in national development goals and seek to transform an economy towards a low-carbon development pathway (van Tilburg et al., 2011). Like ODA, international support for NAMAs is a finance flow supporting sustainable development in poorer countries.

This paper is based on the hypothesis that there are overlaps in the scope and objectives of traditional development assistance and NAMAs, and that an improved understanding of what these are could help promote best practice across both areas. Based on a mixture of desk research and semi-structured interviews with 14 experts from across the NAMA and development communities, the similarities and differences are investigated and priority areas for exchange and learning are identified.[4]

The number of NAMAs is growing (from 98 in June 2014, to 118 in November 2014) (van Tilburg et al., 2014), but this is still a fledgling concept with many NAMAs struggling to move from development to implementation. To support those working on NAMAs, the insights and lessons from development assistance highlighted by our interviewees are mapped against a set of NAMA challenges grouped under sustainable development; finance; and measurement, reporting and verification. It is hoped that this can provide some practical ideas for those working in the NAMA space, and flag up where further discussion and research may be useful.

It should be noted that assessing the overlaps between traditional development assistance practice (and ODA) and NAMAs (and NAMA support) is a wide-ranging topic. The aim of this paper is to provide an initial assessment of the most fruitful areas for potential learning, and to provide recommendations for further dialogue and research to build on this work in the future.

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[2] As defined in the “sustainable development-principle” which gained momentum in Rio 1992 (http://www.sustainable-environment.org.uk/Action/Rio_Declaration.php)

[3] Other approaches include climate resilience screening in traditional ODA projects (see, for example, Tanner et al., 2007), ODA projects with a focus or a component related to climate change mitigation and adaptation (EU, 2013), the Clean Development Mechanism and other, newer, mechanisms under the United Nations Framework Convention on Climate Change (UNFCCC) such as Low Emissions Development Strategies (LEDS) (Lütken et al., 2011).

[4] For a full list of interviewees and questions, please see Annex 1.

2. Understanding NAMAs in relation to development assistance

To highlight potentially fruitful areas for exchange and learning between the NAMA and traditional development communities, it is firstly necessary to understand what the overlaps between the two areas of practice are. This section therefore looks at development assistance and NAMAs side by side, comparing them in a number of key areas. This section is based on the author's own research and analysis and is supplemented with key insights, shown in the boxes, arising from the discussions with interviewees.

2.1 Scope and objectives

The historical beginnings of development assistance lie in the period immediately after the Second World War, with the creation of institutions and programmes for economic cooperation under the United Nations, growing support for economic stability in the countries on the periphery of the Communist bloc, and the pursuit of development by the colonial powers in their overseas territories (Fuhrer, 1994). Over time, recognition evolved of the need for less developed countries to help themselves through increased economic, financial and technical assistance from industrialised developed countries, and by adapting this assistance to the requirements of recipient countries (Hynes and Scott, 2013). This cause was taken up by the Development Assistance Committee of the newly formed Organisation for Economic Co-operation and Development (OECD-DAC) in 1961 with the aims of expanding the flow of resources to less developed countries, improving the terms and conditions of aid and increasing its developmental effectiveness. In 1972, the OECD-DAC defined ODA as:

> "Those flows to countries and territories on the DAC list of ODA recipients and to multilateral development institutions on the condition that they are: (i) Provided by official agencies, including state and local governments, or by their executive agencies; and (ii) Each transaction of which (a) Is administered with the promotion of the economic development and welfare of developing countries as its main objective, and (b) Is concessional in character and conveys a grant element of at least 25% (calculated at a discount rate of 10%)" (OECD 2010a).

Many trends have characterised ODA implementation since it was introduced (Gondwe, 2012) and there has been a sharpening of the objectives of ODA in recent years, moving from a broad contribution to the economic and social development of recipient countries to a specific focus on poverty reduction as the primary purpose (Bird & Glennie, 2011). The 'sustainable development' discussion, tabled at the 1992 Rio conference[5] and recently re-emphasised at the Rio+20 meeting,[6] shifted objectives yet again towards a three-pronged economic-social-environmental approach, and this still remains at the forefront of the debate. Indeed, one of the UN's eight international Millennium Development Goals (MDGs), which the OECD-DAC has committed to work towards, is to 'Ensure Environmental Sustainability'.[7]

[5] The "sustainable development-principle" was defined at Rio in 1992 (http://www.sustainable-environment.org.uk/Action/Rio_Declaration.php)
[6] http://www.uncsd2012.org
[7] http://www.un.org/millenniumgoals/

In practice, because of the desire to prevent negative climate change impacts from pushing people down the ladder into poverty, adaptation has probably become the more important climate change consideration in ODA, with many examples of donors using climate resilience screening tools to manage this risk.[8] But although climate change mitigation is not an explicit objective, many ODA-supported actions are classed as having a principal or significant focus in this area (which would include certain energy infrastructure projects, for example).[9] In 2010, around a tenth of Europe's total ODA spend was on such projects (EU, 2013). Furthermore, the focus on renewable energy and access to energy in general is becoming gradually more prominent. The share of development assistance funds into renewable energy is slowly expanding, from 11% in 2000-2001 to 14% in 2007-2008 whilst the share of funds into fossil fuels is sharply contracting, from 26% in 2000-2001 to 11% in 2007-2008 (Bruggink, 2012).

Regarding NAMAs, there is no formally accepted definition, although official documents state that, 'Developing Countries will take nationally appropriate mitigation actions in the context of sustainable development, supported and enabled by technology, financing and capacity building, aimed at achieving a deviation in emissions relative to "business as usual" emissions in 2020' (UNFCCC, 2011). Since they first emerged in 2007, NAMAs have developed through the UNFCCC process as a central concept for a new international climate regime (van Tilburg et al., 2011). However, although NAMAs were introduced under the international climate negotiations, less than half of NAMAs were registered through the UNFCCC in 2014 (van Tilburg et al., 2014).

Work on the ground has led to an understanding of NAMAs as being government actions or packages of actions that contribute to reduced emissions of greenhouse gases. They can range from strategies to policies and projects. NAMA designs consisting of policies, supported with finance, technology transfer and capacity building, are the most common (van Tilburg et al., 2013). NAMAs can be domestically or internationally funded, and they often aim to attract further private investment.

Box 1: Interview insight – objectives

Reflecting the desk-based findings, many of those interviewed identified the objective to support nationally led sustainable development as a key overlap between ODA and NAMA flows. This overlap was perceived to be particularly wide if the current trend towards mainstreaming climate into ODA continues, and if NAMAs do evolve to be 'development-first' actions with mitigation co-benefits.

Although it would appear that the primary objective of NAMAs is climate change mitigation, the need to ground NAMAs in national development goals is clearly enshrined in UNFCCC texts (UNFCCC, 2011) and there is on-going debate amongst international NAMA experts over whether NAMAs should take a climate- or development-first approach (Olsen, 2013).

2.2 Finance

In 1970s, the pledge was first made that ODA should reach 0.7% of GDP.[10] Meeting this would mean around US$400 billion of aid per year by 2020, assuming GDP increases by around 2% (Brown et al., 2010). In 2010, net ODA flows from members of the OECD-DAC had only reached US$128.7 billion (ADBI, 2013). Indeed, the series of economic and financial shocks experienced globally around 2008 placed the aid system under great strain, eroding support for aid in developed economies in the face of public spending cuts (Carbonnier & Sumner, 2012).

Regarding NAMAs', under the Copenhagen Accord, a commitment was made by developed countries to provide resources, which are 'new and additional' to the 0.7% ODA commitment, of US$100 billion per year by 2020 to tackle climate change (UNFCCC, 2010).[11] Looking specifically at NAMA support, a subset of this overall 'climate finance', it is currently difficult to track both the total volume of finance and to what extent this is additional to ODA as although the OECD-DAC reporting system includes a marker for climate mitigation (EU, 2013) NAMAs themselves are not specifically referenced. The eight NAMAs that have benefited from funding for implementation through the German-British NAMA Facility have received support totalling 120 million Euros; a third round of NAMA funding in 2015 will also be supported by Denmark and the EU Commission contributing to the Facility. These funds are specified as ODA-eligible.

[8] See, for example GIZ (http://www.preventionweb.net/files/globalplatform/entry_bg_paper-giz2011climateproofing.pdf)
[9] In reality the true focus of many of these projects is likely to be on supply security and reducing dependence on oil imports rather than on mitigation.
[10] The Pledge has since been affirmed in many international agreements (http://www.unmillenniumproject.org/press/07.htm)
[11] Including leveraged funds.

Over time, the delivery architecture of ODA has become increasingly complex, with a proliferation of different funds and agencies, both bilateral and multilateral (Easterly & Pfutze, 2008). Brazil, China, India and South Africa, once significant aid recipients, have now become major donors (Rogerson, 2011). Non-members of the OECD-DAC, including these four new donors, accounted for about US$10 billion a year of aid in 2010 – a doubling since 2005 (Carbonnier & Sumner, 2012). Overall, the trend has been for ODA terms to become increasingly concessional, with almost 90% of bilateral ODA now in the form of grants rather than loans (IDA, 2007).

NAMA support is still in the early stages, with the finance architecture yet to develop. However, given the desire to involve non-traditional actors such as the private sector and the perceived flexibility that a range of different funding sources provides, it is highly probable that a similarly complex architecture will evolve over time. The Green Climate Fund, a new funding mechanism for climate action, which is being considered as a potential delivery channel for NAMA funding, will also affect this.

2.3 Transformational ambition

Some ODA energy programmes such as GIZ-EnDev[12] and WB-Lighting Africa[13] have aimed to bring about sectoral change for technology markets such as solar, biogas and improved cook stoves with ODA funding gradually being reduced as the private sector takes over. In fact, these types of 'transformational' approaches have been part of the ODA debate for a long time (Rogerson, 2011).

In terms of NAMAs, demonstrating 'transformational potential' is already a funding criterion for the NAMA Facility, one of the main NAMA donors.[14] To date, the proposals that have received funding through the Facility show a trend towards the use of public finance mechanisms, such as guarantee schemes, to enable investment from other sources.[15] The hope is that by broadening the funding base, in particular involving national institutions and private sector organisations, change can be replicated within a sector and sustained once the initial donor investment ends.[16] This is just one aspect of transformation (others highlighted by the interviewees are shown in Box 2), but it was argued that such an approach is likely to become a central, defining element of NAMAs in a way that is not the case with ODA.

Box 2: Interview insight – transformation

The potential to consistently realise transformation at the sectoral level was highlighted by those interviewed as an important differentiating factor between traditional ODA and NAMA support. Six elements to achieve this were highlighted:

1. Providing programmatic support to unlock complementary finance flows;
2. Leveraging money from the private sector (and bringing investment planning into the design process at an earlier stage);
3. Basing proposed action on broad stakeholder engagement (including with private sector);
4. Only investing in interventions with a strong contribution from host countries;
5. Planning for continued investment once the initial donor funding period is over;
6. Placing a greater burden on MRV to track success.

[12] For more information, see http://endev.info/content/Main_Page
[13] For more information, see https://www.lightingafrica.org/
[14] Demonstrating 'transformational potential' is a key condition for the NAMA Facility (http://nama-facility.org/fileadmin/user_upload/pdf/NAMA_Facility_General_Information_Document_April2014.pdf). This need for 'transformation potential' criterion is also reflected in the Green Climate Fund's Investment Framework (http://gcfund.net/ fileadmin/00_customer/documents/MOB201406-7th/GCF_B07_Decisions_Seventh_Meeting_fin_20140619.pdf).
[15] See for example, proposals accepted under the first round of the NAMA Facility http://nama-facility.org/projects/projects-selected.html
[16] Various experts have attempted to define what transformation means in relation to NAMAs. See, for example, Hänsel et al., 2013

2.4 Target countries

The overall amount of ODA going to low-income countries has remained relatively stable at around 60% since the 1970s (Easterly & Pfutze, 2008). The share of ODA going to Least Developed Countries (mainly in sub-Saharan Africa and Asia) rose in the 1970s and 1980s (IDA, 2007). However, this was somewhat at the expense of other less developed countries, such as Kenya and Ghana.

NAMAs are currently being developed with a reasonably broad geographic distribution (van Tilburg et al., 2014). However, the eight NAMAs that have received funding for implementation through the NAMA Facility's first two calls mostly fall in the middle-income-country bracket or above.[17] Given that the majority of the world's poor now reside in emerging economies (Carbonnier & Sumner, 2012), this raises important questions about the link between NAMAs and poverty alleviation, which should be further explored.

Box 3: Interview insight – target countries

It was proposed by those interviewed that NAMAs and ODA-supported actions might be focused in different groups of countries, although there was certainly no agreement on this point. It was argued that NAMAs have the best chance of success in emerging economies, where more mature financial systems and governance structures are in place to support the kind of transformational change sought. These are also the countries whose share of emissions is highest and where the need for mitigation is more pressing. Mitigation interventions in least developed countries are more likely to resemble traditional ODA-type interventions, at least until new approaches are proven elsewhere.

2.5 Personnel

Although NAMAs have, to a large extent, grown out of the twin tracks of climate and development, aiming to build on the lessons of both, many interviewees pointed to examples where those working on NAMAs may have little direct development experience – local consultants in host countries, for example, whose background is often in CDM and climate change, climate teams within development ministries, or environment ministry staff who are leading the NAMA process either in donor or recipient countries. Furthermore, the sustainability discussion for NAMAs and for development assistance is covered in two separate international dialogue processes: mainstreaming environment into development is part of the post-2015 Development Agenda (UNCTAD, 2013), whilst NAMAs are part of discussions on the post-Kyoto climate architecture under the UNCCC (Murphy et al., 2009).

[17] Barring Burkina Faso and Tajikistan. http://data.worldbank.org/about/country-and-lending-groups

A summary of the similarities and differences between Development Assistance practice (and ODA) and NAMAs (and NAMA support) is given in Figure 1. Given the overlaps, some interviewees argued that a more streamlined approach to low-carbon development should be considered. Two opposing options were suggested: (i) To bring ODA and climate finance into one overall low-carbon development approach, raising the overall spend to reflect the additionality commitment, and allocating a certain percentage to have a primary focus on climate change; (ii) to fully separate the governance structures and finance streams of the two approaches, refine aims and objectives and set up frameworks for knowledge transfer which are appropriate within this new structure. This debate is politically sensitive and a much more in depth analysis is required to fully explore the pros and cons of either approach. In the meantime, the interviewees agreed that there are valuable lessons that NAMA practitioners can continue to learn from the experience of their development counterparts, and that the high-level findings of the Aid Effectiveness process are the most useful starting point. These are explored further in Section 3.

ODA — **NAMA Support**

	Difference		Similarity		Difference	
Context	50+ years of experience Voluntary paradigm		Growing recognition of climate/ development linkages		New concept Possible polluter pays paradigm	Context
	MDG post-2015 discussions				UNFCCC post-Kyoto discussions	
Objectives		Poverty alleviation, growth	Nationally-led sustainable development	Climate change mitigation		Objectives
Personnel	Development specialists				Environment and climate specialists	Personnel
			Multilateral organisations			
			Implementation agencies			
		Development departments	Bilateral donors	Environment departments		
			International organisations			
			Government ministries			
Finance Structure and Delivery	Complex delivery architecture	Delivery via MDBs	Delivery via bilateral donors and international organisations		Architecture still evolving	Finance Structure and Delivery
			Overlapping flows		Potential for separate and additional flows	
		Increase in grants vs loans		Use of innovative financial instruments to leverage private investment		
Scope	Health, education	Adaptation, access to energy	Energy, transport, LULUCF			Scope
			Technical assistance and capacity building			
		Project focus	Energy sector interventions	Sectoral focus, enabling frameworks, transformation		
		Low income and Least Developed Countries	Emerging Economies		Role in LDCs as yet unclear	
Reporting			Evaluation of development results against investment		Ongoing MRV of mitigation MRV of transformation	Reporting

Figure 1: Key overlaps and differences between development assistance practice and NAMAs

3. Targeting NAMA Challenges

Based on the wide overlap between traditional development assistance and NAMAs presented in Section 2, all of the experts interviewed were clear that the historic lessons of development assistance are directly relevant to those working on NAMAs and may help to unlock some of the challenges faced on the ground now. The most important of these lessons are enshrined in the five principles of Aid Effectiveness that were agreed in Paris in 2005 and built on in Accra in 2008 and Busan in 2011 (the Aid Effectiveness process was started because of concerns that ODA was not meeting its dual aims of supporting growth and lifting people out of poverty). These principles are: Ownership, Alignment, Harmonisation, Results and Mutual Accountability, and they are described in more detail in Box 4.

Box 4: Principles outlined in Paris Declaration on Aid Effectiveness (text in brackets is additional from Accra and Busan)

1. **Ownership:** Developing countries set their own strategies for poverty reduction, improve their institutions and tackle corruption. (Countries have more say over their development processes through wider participation in development policy formulation, stronger leadership on aid coordination and more use of country systems for aid delivery.)
2. **Alignment:** Donor countries align behind these objectives and use local systems.
3. **Harmonisation:** Donor countries coordinate, simplify procedures and share information to avoid duplication.
4. **Results:** Developing countries and donors shift focus to development results and results get measured. (Aid is focused on real and measurable impact on development.)
5. **Mutual accountability:** Donors and partners are accountable for development results.

To support those working on NAMAs, this section maps the insights of our interviewees in relation to the Principles, against a set of specific challenges being faced on the ground in NAMA development and implementation. These challenges relate to operationalising the following:[18]

i. Country-led sustainable development: How to align NAMAs with national development priorities and balance mitigation and development objectives.

ii. MRV: How to design MRV systems that reflect a transformational goal, track progress on mitigation and sustainable development, and are practical.

iii. Finance: How to support transformation by structuring finance to leverage private sector investment, scale up NAMA implementation, and create replicable and sustainable sectoral change.

We must remove the thought that foreign assistance is the main component of a NAMA. The main component is ownership. If you go back over recent decades, development successes for countries like South Korea or Singapore, more lately China, Ethiopia, Indonesia, have come from strong political leadership.

Erik Solheim, Chair of the OECD-DAC

[18] This is the grouping provided by The NAMA Partnership, which represents many of the key NAMA actors (http://www.namapartnership.org/)

3.1 NAMA challenges: Country-led Sustainable Development

For our interviewees, the key questions of how to align NAMAs with national development priorities and balance mitigation and development objectives were linked closely to the principles of ownership and alignment which have emerged from the Aid Effectiveness debate.

It was widely stated that National Appropriateness is in itself an expression of these two principles and represents the genuine ambition of those working on NAMAs to avoid some of the mistakes of the past (where aid interventions sometimes met the immediate objectives of individual projects without adequately addressing underlying problems of institutional weakness). However, all the experts we interviewed were clear that more work needs to be done to operationalise this, as the progressive elements of NAMAs (for example, the aim to drive sustained change at the sectoral level based on host-country investment as well as international support) are extremely unlikely to get off the ground unless in-country ownership is strong. Three key insights surfaced as being particularly relevant: (i) The importance of securing high level leadership and backing in the host country, which was seen as fundamentally important in the context of past examples of economic transformation; (ii) the need to engage a broad range of stakeholders, firstly to get a sense of what is possible and achievable, and secondly to get the private sector in the host country involved at as early a stage as possible; and (iii) the need to consider the use of budget support approaches, a term used in ODA for funds that are managed by the host government using its own financial systems and procedures (NORAD, 2006), either for general funding of the budget or for specific sectors.

Given that NAMAs focus on transformative change in sectors, it was proposed that NAMAs could be a vehicle for further exploring budget support that is sectorally focused. However, some of the donors interviewed expressed concerns over transparency and accountability and highlighted the debate around the suitability of more fragile states to receive budget support[19] (see also Manuel et al., 2012). It should be noted that in ODA, budget support has evolved in recent years to address some of these concerns, for example by building in supplementary initiatives on transparency (public finance management systems, for example) and capacity building (Manuel et al., 2012). The EU is already using sector budget support for climate change related activities (EU, 2007), and adaptation programmes have benefited in particular (GCCA, 2011). More work is needed on whether and how budget support could be used with NAMAs, particularly in light of current discussions around the extent to which developing countries will have 'direct access' to the Green Climate Fund – with recipient nations essentially envisaging a budget support approach that has yet to be clarified.[20]

It is certainly helpful to have outstanding people pushing certain processes, but this is not enough. You need to engage with all key stakeholders and to analyse their position. This is the big lesson from ODA. We must always ask ourselves – do we have a chance to be successful? .

Vera Scholz, GIZ

[19] One donor interviewed mention that the national government in question had stepped away from providing budget support because of these concerns. Others mentioned donor preference for projects that show some specific result for their investment.
[20] See, for example: http://www.oxfordenergy.org/wpcms/wp-content/uploads/2014/01/Enhancing-direct-Access-and-Country-Ownership.pdf

Alignment behind local systems and objectives (with donors from different countries harmonising their approaches) was also largely discussed by interviewees as a constituent part of ownership, and was seen as a crucial way of ensuring that development and mitigation goals are appropriate and balanced.

The interviewees were clear that NAMAs are most effective when aligned behind an economy-wide low-carbon development plan, or Low Emissions Development Strategy (LEDS). However, it was noted that countries are at very different starting points in this regard: some may already have prioritised NAMAs in accordance with development objectives; some may be less advanced. Where such a plan was not in place, many interviewees felt that NAMAs could be the vehicle for developing such a plan (i.e. the prioritisation process for NAMAs could help governments to identify more fundamental objectives).

3.2 NAMA Challenges: Measurement, reporting and verification

A second key challenge faced by those seeking to implement NAMAs is the need to develop systems for measurement, reporting and verification (MRV). The need to assess effectiveness against objectives using robust evaluation methods is a key lesson from development assistance and is enshrined in the Results and Mutual Accountability principles.

Given that measuring results of NAMAs could potentially involve tracking mitigation, sustainable development and transformational aspects over time, the majority of our experts agreed that the complexity of NAMA MRV needed to be managed. For this reason, alignment and harmonisation were highlighted as being a prerequisite for success. It was argued that donors should work together on developing MRV systems and be led by host governments, using existing national processes and institutions where possible. A situation where different donors developed different and complex MRV systems for NAMAs would be potentially unsustainable for host countries.

In terms of sustainable development co-benefits, where there are many practical lessons to be learnt from looking at the evaluation procedures for different types of aid interventions, it was explained by one interviewee that ex-ante (showing alignment with national development plans), ongoing or ex-post approaches could all be appropriate, depending on the nature of the intervention and on host country and donor priorities. In other words, complex indicator frameworks may not always be necessary and should be situation/context dependent.

Finally, it was stressed that lessons from the CDM, where highly bureaucratic and complex systems were a barrier to entry for many, were seen as further evidence of the need to balance the cost and perceived benefit of MRV efforts with likely real outcomes.

As part of the support Programme to Respond to Climate Change (SPRCC) in Vietnam, donors were gathered together and given a window for engagement with the Vietnamese government. This exercise proved useful to overcome barriers such as how to prioritise interventions and how to make sure financial flows were used appropriately. This came from years of experience in ODA. The German, French and Japanese working together with Vietnam taking the lead.

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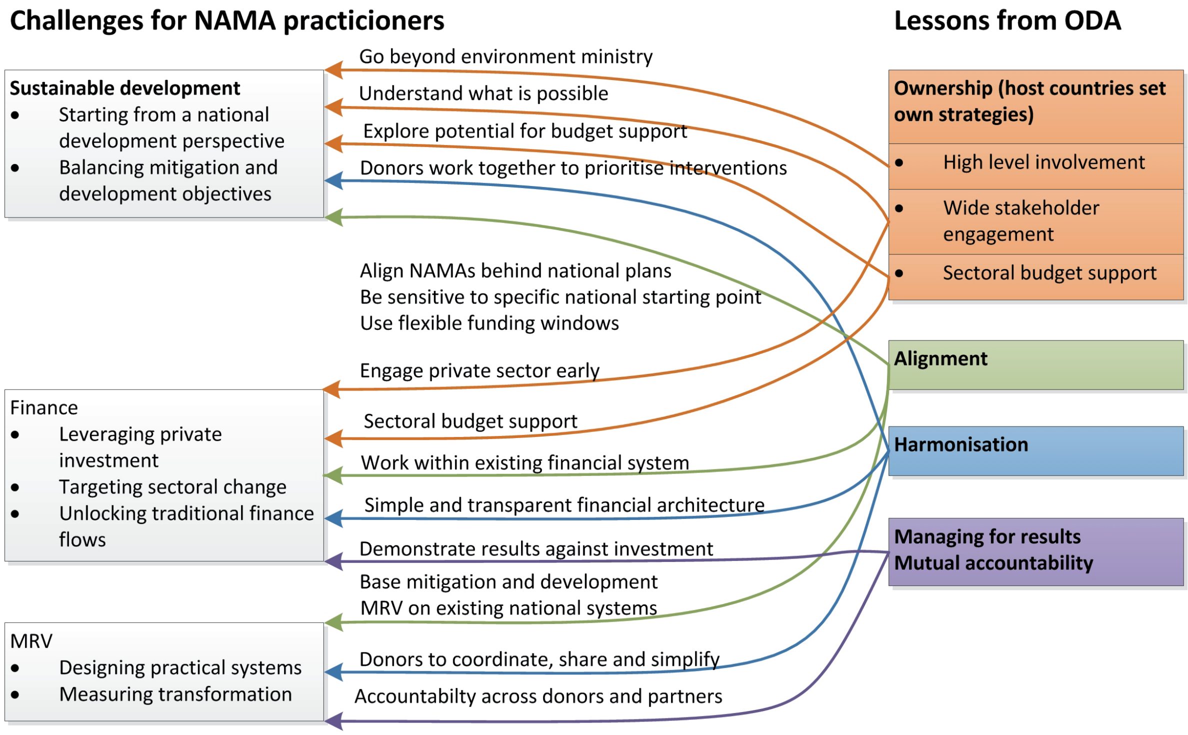

Figure 2: Mapping lessons from development assistance to NAMA challenges

3.3 NAMA Challenges: Finance

Ramping up finance for NAMAs, and leveraging high levels of private investment, is frequently cited as a significant challenge.[21] This is seen as particularly important for supporting change that is transformational in terms of scale (e.g. whole sector level), sustainability (continuing investment once initial donor funding is reduced), and ownership (with financial investment coming from public and private sectors in the host country).

In terms of the finance delivery architecture that is needed to enable NAMA finance to flow, the interviewees again highlighted the need for alignment with national processes and systems. For example, it was suggested that the timing windows of NAMA funding schemes by donors should be flexible enough to accommodate the different consultation and policy-making processes of those countries that would be submitting applications, and transparent enough to demonstrate that preferential bilateral relationships were not driving selection. Also, some interviewees pointed out that the proliferation of aid channels in traditional ODA had resulted in increased transaction costs for donors and recipients alike, reducing the effectiveness of support. It was explained that learning from this and either harmonising NAMA flows with existing ODA flows, or developing a separate but simple and transparent delivery system for NAMAs (for example through the Green Climate Fund) would be important, but challenging given the type of innovative finance approaches currently being discussed.

Interviewees talked about the potential for NAMAs to act as 'enabling frameworks' that used international support to build policy frameworks that, in turn, unlock private investment and other existing finance flows.[22] They pointed out that although there were examples of ODA working successfully with the private sector,[23] that this was an area where those in the NAMA/climate space are largely seen to be leading the way. A note of caution was sounded in that the involvement of the private sector in ODA had sometimes resulted in reduced transparency and accountability.[24] A question mark was also raised over the extent to which innovative finance approaches taken in ODA had in fact resulted in 'additional' investment, a point supported in the relevant literature (UNDP, 2012).

[21] See for example http://www.iisd.org/sites/default/files/publications/namas_leveraging_private_investment.pdf and http://www.namapartnership.org/WORKING-GROUPS/Working-Group-on-Finance-(WG--Finance)

[22] The development bank representatives we spoke to all mentioned that the problem they face on climate change mitigation is not lack of finance but lack of a viable project pipeline. They argued that NAMA support, when directed at creating enabling frameworks, could improve the viability of projects and unlock both existing ODA flows and private sector support.

[23] For example, the GIZ-EnDev and WB-Lighting Africa programmes as previously mentioned; the use of Advanced Market Commitments in the health sector to successfully promote investment into vaccines (DfID, 2009); and the use of Poverty Reduction Strategy Papers (PRSPs) to take a programmatic and strategic approach.

[24] This point is also explored in the supporting literature in, for example, Carbonnier & Sumner, 2012.

3.4 Developing a set of guiding NAMA Principles

Given this innovative work in the NAMA space, it is sensible to propose that a set of NAMA principles, based on those from Aid Effectiveness, might be developed to support best practice in the early stages as these aspects of evolve (an initial suggestion to promote further discussion is presented in Figure 3).

Ongoing uncertainty in key areas (will NAMAs become linked to an international market mechanism under the UNFCCC? Will the Green Climate Fund become the main source of funding and, if so, how will funds be dispersed?) make it hard to provide concrete recommendations for how this should be done at present. Some of the guiding principles on climate finance explored in various UNFCCC texts but yet not formalised, could be integrated (building on the work of Bird & Glennie, 2011). These include the polluter pays principle, the additionality of climate finance, the timeliness of support (given the limited window for action), and the principle of equity.

Equity is particularly important in relation to NAMAs. The UNFCCC texts are clear that climate finance should be available to all countries, including the most vulnerable. Many of our interviewees, however, preferred to target NAMA finance at emerging economies initially, where the systems are in place to support the type of investment envisaged. This tension certainly needs to be explored and resolved.

Finally, as noted above, some additional guiding principles around how to operationalise transformation should be considered, but further research is needed here, in particular taking into account the experience of those NAMAs currently entering the implementation phase.

In the final concluding section of this paper we suggest a number of topics for further research that would help progress the development of such as set of best practice NAMA principles. We also propose some steps that can be taken immediately to further embed the lessons from Aid Effectiveness in today's NAMA practice.

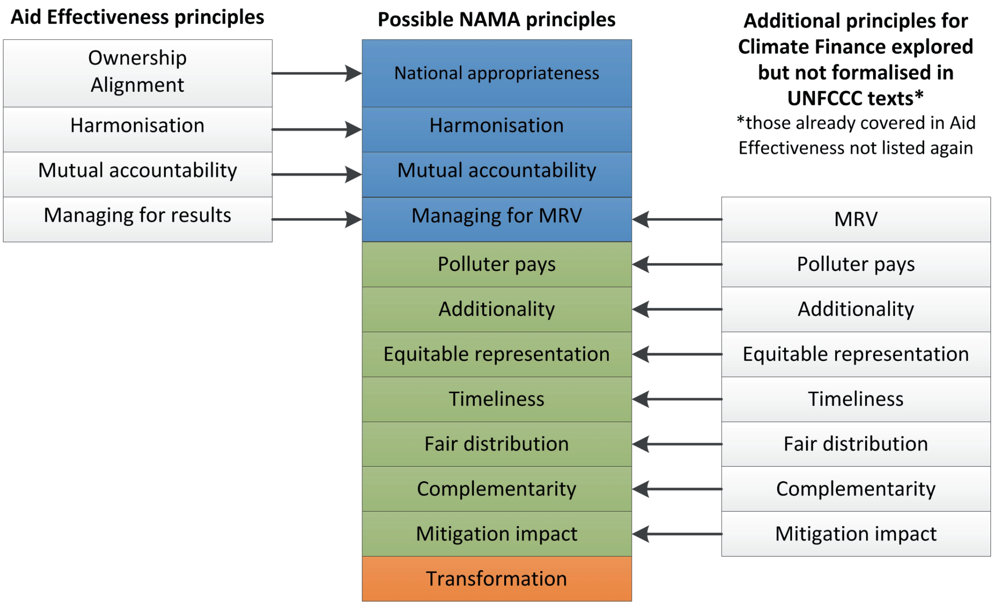

Figure 3: Towards a set of NAMA Principles

4. Conclusions and recommendations

Development assistance practice (and ODA) and NAMAs (and NAMA support) both aim to promote nationally led sustainable development. The starting point for development assistance is poverty reduction, but environmental sustainability is becoming an increasingly important consideration. Many international NAMA experts believe that national development priorities should be the primary focus of NAMA support. NAMAs provide a test-bed for host-country led mitigation actions and a new opportunity to use innovative approaches in sectors where the need and potential for low-carbon transformation is widely recognised. Although the overlaps in objectives, scope and delivery structure are considerable, thinking of NAMA support and ODA separately creates space to experiment in the climate change mitigation sectors, and could lead to the development of complementary approaches. Further clarifying or streamlining the objectives and delivery structures for ODA and NAMAs may be necessary in future, to maximise the effectiveness of Aid delivery.

The Aid Effectiveness principles are directly relevant to NAMAs and operationalising the principles of *Ownership, Alignment, Harmonisation*, Results and Mutual accountability should continue to be a priority for those working in the NAMA space. Many of the experts spoken to believed that, while creating a space to experiment with new approaches is valuable, operating in a climate 'silo' is a risk that could undermine the future success of NAMAs.

The personnel working on NAMAs are sometimes different from those who have worked in ODA (local consultants in host countries, for example, whose background is often in climate change specifically.). But the division can often be within organisations (for example, climate teams within development ministries), which could make improving the learning process easier. Some immediate ideas on practical steps that can be taken to further embed the key lessons from development assistance outlined in this paper into NAMA practice are given in Box 5.

Box 5: Learning from ODA – priorities for key actors (based on insight from interviewees)

NAMA practitioners can:

- Continue to reach out to development and implementation agencies in host countries to gain insight on national context and understand existing processes
- Be guided by in-country stakeholders
- Consider high level support as a pre-condition for action

Donors can:

- Make funding windows flexible to accommodate varied national policy timeframes, and transparent to prevent speculation over preferential bilateral relationships
- Work together, led by host national governments, on key aspects such as the development of MRV systems
- Forge links between development and environmental teams within their own organisations

National recipient governments can:

- Promote NAMA discussion beyond environmental departments and with a broad range of stakeholders nationally, including the private sector
- Openly share the lessons of development interventions in NAMA-related fora
- Foster better systems and approaches for donor coordination

When it came to certain aspects of NAMAs, such as the use of public finance mechanisms to leverage private investment, and the development of comprehensive MRV systems, those working in the climate space were seen as innovators, highlighting the fact that learning between these two communities should flow both ways.

Some caution is required in relation to 'transformational' ambition. It is apparent from the interviews, and from a general assessment of the current situation regarding NAMAs, that many lessons have already been learned from the past. National appropriateness is in itself an expression of 'ownership and alignment' and the focus of NAMA practitioners on transformational potential seems to reflect a genuine desire to avoid some of the previous mistakes made (where aid interventions met the immediate objectives of individual projects but did nothing to promote fundamental, sustainable change).

However, we must not forget that transformation is not a new idea. Along with catalytic change, and innovative approaches, it has been extensively discussed and attempted in traditional ODA. In this context it has proved to be a highly difficult concept, with significant challenges emerging associated with assessing the impact of external intervention when transformation does occur, and with no single approach having been found to be universally transformational (Rogerson, 2011). We might want to consider that one final lesson to learn is: 'there may be a danger of getting carried away with such institutional transformation ambitions (and related policy-reform) to the exclusion of more modest, yet valid growth-enhancing infrastructure options beyond the immediate reach or interest of the private sector' (Rogerson, 2011). More thought is certainly required on what transformation really means in relation to NAMAs, why it is prized so highly, and how we may begin to understand and measure the role that external interventions have played in making transformation happen. .

Box 6: Suggested areas for further work

- ***Finance:*** Analysis of the potential impact of increased private sector engagement on the delivery architecture for NAMAs, with suggestions on how transparency and harmonisation can be maximised; evaluation of the potential for sectoral budget support in relation to NAMAs, in particular in relation to the Green Climate Fund; analysis of the potential for different types of NAMA design to unlock traditional finance flows.
- ***Transformation:*** Improved definition of transformation in relation to NAMAs, and further work on the implications for NAMA MRV systems.
- ***Poverty:*** Analysis on the link between NAMAs and poverty reduction in emerging economies, and on how to better integrate climate resilience risk analysis into NAMA practice
- ***Low-carbon*** development: Improved understanding and guidance on if/how to develop and implement NAMAs in the absence of a Low Emissions Development Strategy or similar strategic plan in a host country.

Deepening our understanding of issues such as equity, poverty and transformation in relation to NAMAs can support the development of a set of best practice principles. There was some disagreement amongst those interviewed regarding the type of countries that NAMA finance should flow to. The principle of equity suggests that support should be available to all, but many argued that NAMA finance is most effective when targeted at emerging economies where the local structures exist to support the type of innovative finance mechanisms preferred, and where climate mitigation is more urgently required.

It may be helpful to think of ODA as focused on access to energy services and climate resilience, and new climate change funding for NAMAs, on green growth and climate mitigation (Bruggink, 2012). However, if poverty alleviation is an expressed preference of host countries then climate change adaptation will increasingly need to be taken into account in NAMA projects (Bruggink, 2012). Furthermore, given that the majority of the world's poor now live in Middle Income Countries (Carbonnier & Sumner, 2012), where NAMA implementation finance appears, at least initially, to be being directed, further work is required on the impact of NAMA interventions on the poor in these countries. A summary of some of the most important topics for further work raised in this paper is presented in Box 6.

Learning from the past needs to be balanced with a forward-looking approach. As we have seen, NAMAs represent an excellent opportunity to demonstrate both how mitigation actions can be host-country led and how traditional donor support can be used more efficiently and effectively than in the past. However, we need to start seeing success stories soon to keep momentum high. Success breeds success, and whilst an ongoing exchange of knowledge will remain essential, pushing forwards and learning by doing is, at this stage, equally vital.

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Annex 1: Interviewees and questions

- Claudio Calatore (and colleagues), Inter-American Development Bank
- Michael Rattinger, Asian Development Bank
- Simon Maxwell, CDKN
- Ari Hutala, CDKN
- Michel van den Boscche, European Commission Devco
- Vera Scholz, GIZ
- Frank van der Vleuten, DGIS
- Erik Solheim, OECD-DAC
- Markus Kurdziel, ICI/BMU
- Alison Towle, James Vener, UNDP-LECB
- Neil Bird, Overseas Development Institute
- Jonathan Glennie, Overseas Development Institute
- Jiro Ogahara, OECC
- David Potter, NAMA Facility

- What makes Nationally Appropriate Mitigation Actions (NAMAs) interesting for developing countries; for donors; and for development practitioners?
- Are NAMAs different from the existing practice of integrating climate change in development cooperation? Or from donor-supported RE/EE initiatives?
- Does the attention on NAMAs pose a threat or an opportunity for development cooperation?
- What challenges and lessons learnt in ODA (particularly with a focus on mitigation), are most relevant to those working on NAMAs? For example:
    - Which development cooperation challenges are particularly relevant?
    - Which public policy-making challenges are particularly relevant?
    - What lessons should the NAMA community learn from years of ODA?
- What insights from your ODA experience (particularly in mitigation) could be relevant to the topics highlighted by NAMA practitioners as areas where progress is most needed:
    - Sustainable development – how to assess and promote sustainable development objectives that are in line with national priorities?
    - SFinance – how to mobilise private finance; how to target support to catalyse wider change?
    - SMRV – how to develop cost-effective tracking and reporting systems that balance the priorities of different stakeholders?

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