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First annual report to the Conference of the Parties on the operation of the registry of nationally appropriate mitigation actions

Note by the secretariat

Summary

This document contains information on the operation of the registry of nationally appropriate mitigation actions in 2013, in accordance with decision 2/CP.17, paragraph 52(b), and decision 16/CP.18, paragraph 11(b). It summarizes information on the establishment of the registry, activities undertaken by the secretariat and challenges facing the registry. Finally, it presents an analysis of information recorded in the registry as at 1 September 2013.



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I. Introduction

A. Mandate

1. The Conference of the Parties (COP), at its sixteenth session, decided to establish a registry to record nationally appropriate mitigation actions (NAMAs) seeking international support, and to facilitate the matching of finance, technology and capacity-building support with these actions.¹ The COP invited:

(a) Developing country Parties to submit to the secretariat information on NAMAs for which they are seeking support, along with estimated costs and emission reductions, and the anticipated time frame for implementation;²

(b) Developed country Parties to submit to the secretariat information on support available and provided for NAMAs.³

2. COP 17 decided that:⁴

(a) The registry should be developed as a dynamic, web-based platform managed by a dedicated team in the secretariat;

(b) Participation in the registry should be voluntary, and only information submitted expressly for inclusion in the registry should be recorded;

(c) The registry should be structured in a flexible manner that clearly reflects the full range of the diversity of NAMAs and a range of types of support.

3. At this session the COP also invited developed country Parties, entities entrusted with the operation of the financial mechanism, including the Global Environment Facility and the Green Climate Fund, multilateral, bilateral and other public donors, and private and non-governmental organizations in a position to do so, to submit to the secretariat, as appropriate, information on financial, technology and capacity-building support available and/or provided for the preparation and/or implementation of NAMAs.

4. Also at this session, the COP requested the secretariat to provide information to it on the operation of the registry annually, in order to inform the discussions on the financial mechanism.⁵ It noted that this mechanism could make use of information available in the registry when considering the provision of support for the preparation and implementation of individual NAMAs that are seeking support.⁶

B. Scope of the note

5. This report presents an overview of the development, deployment and operation of the registry in 2013. It is divided into two parts, as follows:

(a) Chapter II summarizes information on the development and deployment of the registry and the main challenges faced during the first year of operation of the platform, and provides a summary of the secretariat's efforts to support users of the registry;

¹ Decision 1/CP.16, paragraph 53.

² Decision 1/CP.16, paragraph 54.

³ Decision 1/CP.16, paragraph 55.

⁴ Decision 2/CP.17, paragraph 45.

⁵ Decision 2/CP.17, paragraph 52(b). Decision 16/CP.18, paragraph 11(b), makes reference to this mandate and specifies the provision of information to COP 19.

⁶ Decision 2/CP.17, paragraph 53.

(b) Chapter III presents an analysis of information relating to the operation of the registry, including information on its user base, as well as of information on NAMAs and support for NAMAs recorded in this platform.

II. Operation of the registry in 2013

A. Development and deployment of the platform

6. COP 17 requested the secretariat to develop a prototype of the registry by the thirtysixth session of the Subsidiary Body for Implementation in order to present the prototype to Parties for their consideration.⁷ In response to this mandate, the secretariat presented a design for the prototype registry to Parties at the specified session. Feedback following this presentation was considered in the development of the prototype registry.

7. Before the deployment of the prototype registry, the secretariat created an interim website to enable Parties to submit and provide information on NAMAs and on support available for them. This interim website⁸ became operational in August 2012.

8. The fully functional prototype of the registry was deployed on 30 April 2013. This version was only accessible to users with access rights. In accordance with decision 16/CP.18, the secretariat notified Parties of this event, and initiated a process to provide access rights to Parties (through UNFCCC focal points) and other interested organizations.

9. The first release of the web-based registry will be deployed on 14 October 2013; all national focal points and all entities holding access rights to the prototype registry will be notified of the deployment. All entries in the prototype registry were migrated into the first release of the web-based registry.

B. Efforts of the secretariat to support users of the registry

10. With a view to supporting users of the registry in accordance with decision 16/CP.18, paragraph 11(c), the secretariat undertook the following during the reporting period:

(a) Deployed a website to provide general information and access to the registry;

(b) Developed technical material on the use of the registry, including a comprehensive users' manual, online demonstrations of key registry features, recordings of NAMA approvers' webinars (see para. 9(d) below), a NAMA approver factsheet and frequently asked questions, information on access rights, and examples of country-level approaches to the NAMA registry;

(c) Conducted preliminary outreach to potential providers of support, including through an informal meeting with developed country Parties and, in cooperation with the World Business Council for Sustainable Development, a workshop to discuss the functionalities and benefits of the registry with representatives from the private sector, as well as their potential interest in the provision of support to NAMAs;

⁷ Decision 2/CP.17, paragraph 54.

⁸ <http://unfccc.int/cooperation_support/nama/items/6945.php>.

(d) Organized a forum to build capacity among NAMA registry users through in-person events in the context of NAMA regional workshops,⁹ and a webinar series.

C. Challenges in the operation of the registry of nationally appropriate mitigation actions

11. The operation of the NAMA registry by the secretariat aims to ensure that the platform functions in accordance with the best technical standards, the users receive the support they need to record and access information, and the information in the registry is reliable. In addition, the registry has the potential to become an authoritative source of information on NAMAs and on support to them.

12. During these early stages of operation, the secretariat has identified the following challenges:

(a) Limited use and level of participation: the registry needs to contain a critical mass of information. A larger number of entries in the registry will increase opportunities for matching NAMAs and support, and for recognition of NAMAs. So far, the registry contains 4 entries on support and 40 NAMA entries. There needs to be broad participation in the registry. For example, 45 per cent of Parties eligible for access rights to create NAMAs have requested them, and 6.5 per cent have recorded a NAMA in the registry;

(b) Improving information accuracy and completeness: registry content needs to be reliable and complete for the registry to be effective. As noted in chapter III below, limited information is available on some aspects of registry entries (e.g. incremental costs of NAMAs), and some information may not always be accurate (e.g. some of the quantitative data within the templates). The amount of information recorded on support available is still relatively limited;

(c) Limitations of final registry design: the secretariat received limited feedback from Parties on the design of the registry, in particular on the templates used for creating entries. The ability to analyse registry content is limited by the design of those templates as they predetermine the type and quality of the data.

13. In order to address these challenges, it is recommended that Parties and others who may benefit from the registry:

(a) Find ways to increase their level of participation in the registry, including obtaining access rights and creating registry entries. For developing country Parties, the ability to decentralize the preparation of NAMAs through NAMA developer access rights may be one way to achieve this;

(b) Take steps to ensure that their entries in the registry are accurate, complete and up-to-date;

(c) Continue to provide the secretariat with suggestions for improving the registry, with their related capacity-building needs and to make use of relevant technical resources.

D. Future activities

14. In future, the registry will require resources for on-going routine maintenance, as well as for providing day-to-day support to users. In addition, the experience to date and

⁹ More information on these workshops is available at <http://unfccc.int/focus/mitigation/items/7429.php>.

suggestions from Parties have highlighted the potential for improving the registry's usefulness to NAMA proponents, providers of support, the public and the secretariat. Potential improvements, subject to resources, to the first release of the web-based registry could include:

 (a) Adding a module allowing users to self-manage their access rights to the registry;

(b) Adding a module to allow registry users to extract and analyse summary statistics on NAMA and support entries;

(c) Integrating help menus into the registry interface (rather than relying solely on the guidance resources external to the registry).

15. Following the successful establishment of the registry in 2013, the secretariat will continue raising awareness of the platform, encouraging and supporting users, and undertaking outreach activities with potential providers of support, including multilateral and bilateral agencies and banks, and the private sector. This will be achieved, subject to the availability of funding, through a combination of targeted outreach and capacity-building events as well as the provision of technical documentation.

III. Analysis of information relating to the operation of the registry

16. This analysis is divided into two main categories:

- (a) Level of participation in the registry;
- (b) Entries on NAMAs and support available for NAMAs.

17. Future analyses will include, if available, information on the matching of NAMAs with support available to them. This information is not yet available because the registry is in an early stage of development.

18. In considering the information contained in this report, Parties and other stakeholders may wish to take note of the following:

(a) Only a snapshot of the contents of the registry was used for the analysis presented in this report. The report only takes into account information recorded as at 1 September 2013;

(b) As regards NAMAs, each entry contains information developed independently by the proponent of each action using self-determined assumptions, standards and methodologies. Results should be seen as approximate whenever sums or averages are presented;

(c) To ease comparison, all financial figures have been converted into United States dollars; therefore, these conversions are approximate due to exchange rate movements;

(d) Since not all registry entries are complete, some of the analyses are based on a sample size smaller than the total number of NAMAs submitted. For this reason, the conclusions drawn are not necessarily representative of the complete set of NAMAs;

(e) The secretariat has not sought to classify entries in the registry beyond the classifications selected in the registry input templates by registry users.

A. Participation in the registry

19. This section contains an analysis of the nature of participation in the registry. Prior to this analysis, however, it is important to clarify the different types of registry access rights:

(a) **NAMA approvers** (one per developing country) have full access rights to the registry and can create, edit and approve NAMA entries;

(b) **NAMA developers** have the right to create NAMAs for a given country and edit their own entries. Each developing country may grant as many NAMA developer rights as deemed necessary. However, no country has requested such access rights so far;

(c) **Support editors** may create entries for finance, technology or capacitybuilding support available for NAMAs. Typically, these rights are provided to developed country Parties and multilateral, bilateral or other organizations which provide support to NAMAs.

1. Overview of the distribution of access rights

20. Table 1 provides an overview of participation in the NAMA registry as at 1 September 2013, using the number of entities with access rights and the number of registry entries as proxies for participation. A total of 87 entities requested and were granted access rights in the first year of operation of the registry, most of them NAMA approvers.

Table 1Summary of registry participation

| Number of NAMA approvers | 69 |
|---|-----|
| Number of NAMA developers | 0 |
| Number of support editors | 18 |
| Total | 87 |
| Percentage of NAMA approvers which have recorded entries | 13% |
| Percentage of support editors which have recorded entries | |

Abbreviation: NAMA = nationally appropriate mitigation action.

2. Access rights for NAMA approvers by UNFCCC regional grouping

21. Figure 1 presents the distribution of access rights granted to developing country Parties by UNFCCC regional grouping, as well those granted to small island developing States (SIDS) and least developed countries (LDCs). Out of the 152 developing country Parties, fewer than half (69) have requested access rights to the registry.



Figure 1 **Registry participation: NAMA approver access rights by UNFCCC regional** grouping^a

Abbreviations: LDCs = least developed countries, NAI = non-Annex I, NAMA = nationally appropriate mitigation action, SIDS = small island developing States.

^{*a*} This figure does not include a column for the "Western European and other States" regional grouping, owing to the low number of developing country Parties in both groups. However, the chart does include all developing country Parties in the "Total NAI Parties" column.

3. Access rights for support editors

22. The secretariat granted access rights to a total of 18 support editor entities.

4. Registry participation as indicated by nationally appropriate mitigation action entries

23. Participation in the registry can also be assessed by comparing the amount of entries against the amount of access rights that have been requested. While Parties or organizations may have requested access rights, this does not necessarily indicate participation, as not all have recorded information in the registry.

24. Figure 2 shows a different measure of participation in the registry: the number of Parties not included in Annex I to the Convention that have created entries in the registry. Each Party, participating or not, is counted as one entity. The number of entries that have been recorded for a Party are disregarded.

25. This metric suggests that the participation rates by region are in the order of 15 per cent or lower.



Figure 2 Registry participation (registry entries)

Abbreviations: LDCs = least developed countries, NAI = non-Annex I, NAMA = nationally appropriate mitigation action, SIDS = small island developing States.

B. Entries in the registry on nationally appropriate mitigation actions and on support¹⁰

26. This chapter presents an analysis of the contents of the registry. More specifically, it looks at the amount of entries recorded and at information included in all the entries. The analysis distinguishes between the following entries:

¹⁰ Note that figures, tables and statistics in this section include a NAMA seeking support that was submitted by the Federal Democratic Republic of Ethiopia to the secretariat prior to the launch of the prototype registry, but is still not included in the registry, as no access rights have been requested yet by this Party.

(a) **NAMAs seeking support for preparation** (**preparation**) are NAMAs which require resources to be developed from a rough concept to a well-defined proposal;

(b) **NAMAs seeking support for implementation (implementation)** are well defined NAMAs with detailed information on objectives, specific activities, costs, need for support and deliverables;

(c) **Other NAMAs for recognition** (recognition) are NAMAs for which the proponent country is not seeking any finance, technology or capacity-building support. They should also be well-defined with detailed information on objectives, specific activities, costs, and deliverables;

(d) **Support available for NAMAs** are entries with information on finance, technology and capacity-building support for NAMAs.

1. Entries on nationally appropriate mitigation actions

27. In the reporting period, a total of 40 NAMAs were recorded by developing countries in the registry, all of them by NAMA approvers.

Nationally appropriate mitigation action entries by type and UNFCCC regional grouping

28. Figure 3 presents the distribution of NAMA entries by type. Nearly two thirds (24 entries, 60 per cent) of the registered NAMAs are seeking support for implementation, 12 entries (30 per cent) for preparation and 4 entries (10 per cent) for recognition.



Characterization of NAMA entries by type

Figure 3

Abbreviation: NAMA = nationally appropriate mitigation action.

29. Figure 4 illustrates the distribution of NAMA entries by UNFCCC regional grouping, as well as SIDS and LDC entries. According to this figure, most NAMA entries have been recorded by Latin America and Caribbean States, and Eastern European States, followed by Asia-Pacific States and then African States. Latin America and Caribbean States is the only grouping to have registered all three categories of NAMAs.



Figure 4 Distribution of NAMA categories by UNFCCC regional grouping

Abbreviations: LDCs = least developed countries, NAMA = nationally appropriate mitigation action, SIDS = small island developing States.

Nationally appropriate mitigation action entries by sector, technology and type of action¹¹

30. Figure 5 summarizes the distribution of NAMA entries by sector. Most NAMA entries (25 entries, 63 per cent) have identified energy supply as an applicable sector, followed by residential and commercial buildings (11 entries, 28 per cent), waste management (9 entries, 23 per cent) and industry (9 entries, 23 per cent).

¹¹ Note that more than one sector, technology and type of action can be selected for each NAMA entry.





Abbreviation: NAMA = nationally appropriate mitigation action.

31. Figure 6 presents the distribution of NAMAs by identified technology. A total of 39 NAMA entries (98 per cent) identified an applicable technology.

32. Energy efficiency is the technology specified in the largest number of NAMA entries (22 entries, 55 per cent), followed by bioenergy (11 entries, 28 per cent) and solar energy (11 entries, 28 per cent).





Abbreviation: NAMA = nationally appropriate mitigation action.

33. Figure 7 summarizes the type of action specified within NAMA entries. Most NAMAs (23 entries, 58 per cent) are classified as national/sectoral policies or programs, followed by investments in infrastructure (21 entries, 53 per cent), national/sectoral goals (16 entries, 40 per cent) and strategies (9 entries, 23 per cent).





Abbreviation: NAMA = nationally appropriate mitigation action.

Greenhouse gas coverage and emission reductions

34. Less than half of the NAMA entries (19 entries, 48 per cent) have specified the greenhouse gases they cover. Carbon dioxide is covered by most NAMA entries (17 entries, 43 per cent), followed by methane (3 entries, 8 per cent).

35. The registry allows the user to express greenhouse gas reductions for recognition and implementation NAMAs in megatonnes of carbon dioxide equivalent. This can be done on a total (Mt CO_2 eq) or annual basis (Mt CO_2 eq per year).

36. A total of 14 entries (50 per cent) indicated emission reductions in Mt CO₂ eq and 8 entries (29 per cent) specified Mt CO₂ eq per year.¹²

37. An estimation of the total emission reductions contained in the registry (e.g. a sum of the data from all the entries) is not possible at this stage, owing to the use of different standards, indicators, time frames, as well as to certain other issues.¹³ However, the following can be said about the estimated reductions:

(a) Implementation: total emission reductions range from 0.320 Mt CO_2 eq to 56 Mt CO_2 eq; and annual emission reductions range from 0.00061 Mt CO_2 eq per year to 13.8 Mt CO_2 eq per year.

¹² Percentages based on the 28 implementation and recognition NAMAs recorded in the registry.

¹³ For example, registry entries NS-26, NS-29 and NS-36 were out of the expected greenhouse gas emission reduction range and are excluded from this analysis.

(b) Recognition: one entry expressed reductions as a total (18.4 Mt CO_2 eq). For the other entries, annual emission reductions range from 0.275 Mt CO_2 eq per year to 5.2 Mt CO_2 eq per year.

Time frames

38. The registry allows users to specify the time frame for completion of their NAMAs. Eighty-eight per cent of the entries contained information on time frames.

39. Entries on preparation range from 3 to 240 months (median of 24 months), entries on implementation from 12 to 120 months (median of 54 months), and on recognition from 18 to 120 months (median of 96 months).

Total cost of nationally appropriate mitigation actions

40. The registry allows users to record information on the costs of preparing or implementing NAMAs.

41. Table 2 summarizes information on the total cost of NAMAs by type and UNFCCC regional grouping. A total of 34 entries (85 per cent) specified this information.

42. As noted in chapter II above, it is difficult to sum up the data provided in different entries, owing to the use of different assumptions, methods and standards and these figures should be treated as estimates. In addition to the information in this table, the following can be stated:

(a) Total costs of preparation range from USD 200,000 to USD 1,250,000;

(b) Total costs of implementation range from USD 1,358,000 to USD 1,234,000,000.

Table 2

| UNFCCC regional groupings by NAMA category | Sum of estimated full cost (thousands of USD) |
|--|--|
| NAMAs seeking support for preparation | 5 977 |
| African States | 1 540 |
| Asia-Pacific States | 2 212 |
| Eastern European States | _ |
| Latin America and Caribbean States | 2 225 |
| NAMAs seeking support for implementation | 6 111 000 |
| African States | _ |
| Asia-Pacific States | 1 307 000 |
| Eastern European States | 3 560 000 |
| Latin America and Caribbean States | 1 243 000 |
| Other NAMAs – for recognition | 6 330 |
| African States | _ |
| Asia-Pacific States | _ |
| Eastern European States | 1 294 |
| Latin America and Caribbean States | 5 037 |
| Total (all NAMAs) | 6 123 000 |

Total cost of NAMAs by type and grouping^a

Note: – indicates no entries for this region.

Abbreviation: NAMA = nationally appropriate mitigation action.

^a Numbers in this table have been rounded to four significant figures.

Incremental cost of nationally appropriate mitigation actions

43. The registry allows the user to record information on the incremental cost of implementation and recognition. A total of seven entries (25 per cent) have provided this information, all implementation NAMAs.

Incremental costs range from USD 11,800,000 to USD 500,000,000 with an average 44. of USD 97,200,000. These costs represent between 7 per cent and 63 per cent of the full cost of the relevant NAMAs, with an average of 36 per cent.

Support sought for nationally appropriate mitigation actions

In accordance with COP decisions, the registry allows users to specify three 45. categories of support: finance, technology and capacity-building.

Of all NAMA entries seeking support, 33 of them (92 per cent) specified an amount 46. for financial support, 7 entries (17 per cent) for technology support, and 10 entries (28 per cent) for capacity-building support.

Table 3 provides a summary of support being sought under each category and by 47. UNFCCC regional grouping. As noted at the beginning of this chapter, the figures in this table are only an estimate.

| Table 3Support sought for NAMAs by type and grouping | | | | |
|--|---|--|--|--|
| UNFCCC regional groupings by NAMA category | Total financial support (thousands of USD) | Total technology support (thousands of USD) | Total capacity-building support (thousands of USD) | |
| NAMAs seeking support for preparation | 5 555 | 1 472 | 1 450 | |
| African States | 480 | 260 | 800 | |
| Asia-Pacific States | 3 400 | 1 212 | 600 | |
| Easter European States | - | - | - | |
| Latin America and Caribbean States | 1 675 | - | 50 | |
| NAMAs seeking support for implementation | 4 168 000 | $20\ 000^a$ | 11 500 | |
| African States | - | - | - | |
| Asia-Pacific States | 380 700 | 20 000 | 10 000 | |
| Eastern European States | 3 227 000 | - | - | |
| Latin America and Caribbean States | 560 600 | _ | 1 500 | |
| Total (all NAMAs) | 4 173 000 | 21 470 | 12 950 | |

Note: - indicates no entries for this region.

Abbreviation: NAMA = nationally appropriate mitigation action.

Entries NS-40 and NS-50 have been excluded from the analysis of technology support sought because the amounts recorded appear to be duplicates of the amounts of financial support sought by these entries.

Financial support sought by nationally appropriate mitigation actions

48. Ninety-two per cent of NAMA entries seeking support have indicated an amount of financial support sought. As indicated in table 3, a total of USD 4.173 billion of financial support is being sought by the proponents of these NAMAs. Table 4 shows the range of financial support sought for implementation and preparation NAMAs.

Table 4 Financial support sought

| | | Range (thousar | Total | |
|----------------|-----------------|----------------|-----------|--------------------|
| NAMA category | Number of NAMAs | Minimum | Maximum | (thousands of USD) |
| Preparation | 11 | 40 | 1 000 | 5 555 |
| Implementation | 22 | 444 | 1 234 000 | 4 168 000 |

Abbreviation: NAMA = nationally appropriate mitigation action.

49. As illustrated in figure 8, most NAMAs are requesting grants, followed by resources from carbon finance.

Figure 8 Type of financial support sought by NAMAs



Abbreviation: NAMA = nationally appropriate mitigation action.

Technology support sought by nationally appropriate mitigation actions

50. Table 5 illustrates the distribution of technology support sought by NAMA type.

| recimology support sought | | | | | |
|---------------------------|-----------------|--------------------------|---------|--------------------|--|
| | Number of NAMAs | Range (thousands of USD) | | Total | |
| NAMA category | | Minimum | Maximum | (thousands of USD) | |
| Preparation | 5 | 60 | 500 | 1 472 | |
| Implementation | 1 | $20\;000^{a}$ | | | |

Table 5 **Technology support sought**

Abbreviation: NAMA = nationally appropriate mitigation action.

^{*a*} Only one entry in this analysis includes an amount of technology support sought following the exclusion of entries NS-40 and NS-50 as above.

Capacity-building support sought by nationally appropriate mitigation actions

51. Proponents of NAMAs can specify the amount and type of capacity-building support for their NAMAs. Capacity-building can be expressed in monetary terms or as person-hours. Fifty per cent of NAMAs seeking support have indicated that some type of capacity-building support is sought, but only 28 per cent¹⁴ have indicated the amount sought. The amount of capacity-building support being sought is shown in table 6. The largest amount of capacity-building support is being sought for implementation.

Table 6

Capacity-building support sought

| | | Range (thousands of USD) | | Total |
|----------------|-----------------|--------------------------|---------|--------------------|
| NAMA category | Number of NAMAs | Minimum | Maximum | (thousands of USD) |
| Preparation | 8^a | 50 | 600 | 1 450 |
| Implementation | 2 | 1 500 | 10 000 | 11 500 |

Abbreviation: NAMA = nationally appropriate mitigation action.

^{*a*} This figure includes an entry that lists the amount of support sought in hours rather than monetary value. This entry is excluded from the other calculations in this table.

52. Figure 9 illustrates the types of capacity-building support sought. It is most commonly sought at the individual level, for preparation NAMAs.

¹⁴ This figure includes one entry that list the amount of support sought in hours rather than currency.



Figure 9 Type of capacity-building support sought by NAMAs

Abbreviation: NAMA = nationally appropriate mitigation action.

2. Support entries

53. Four entries on support have been recorded in the registry: three of them by developed country Parties and one by the Global Environment Facility. These entries are characterized by the following:

(a) Two provide support for preparation, one for implementation and one for both;

(b) None of the entries discriminate among regions, sectors or technologies;

(c) All entries provide grants, two of them also provide concessional loans, and one, in addition, provides private loans;

(d) Three entries provide support to all types of actions,¹⁵ while one specifically provides support for investments in machinery and infrastructure.

¹⁵ See figure 7 for the types of actions.