

# Requesting CTCN Assistance - NDE Manual



UNEP – December 12th, 2013, Thailand



# Objectives of the Session

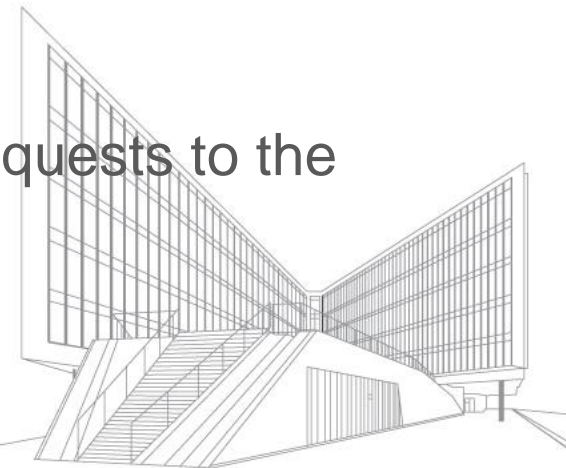
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Get acquainted with:

- The operating manual for NDEs
- The practical process of requesting CTCN assistance
- The selection and prioritization of requests by the CTCN

Have the capacity to:

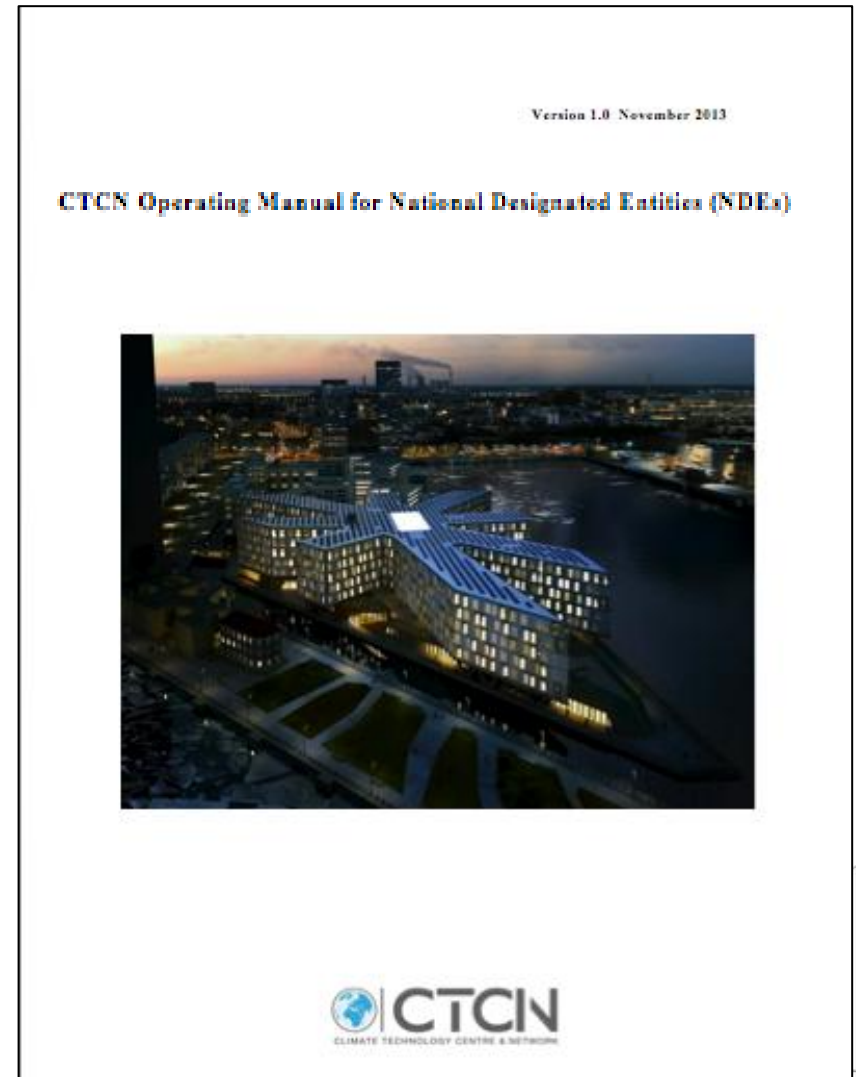
- Prepare request that is eligible for CTCN support
- Ensure development of high quality requests
- Answer questions from within the country on requests to the CTCN

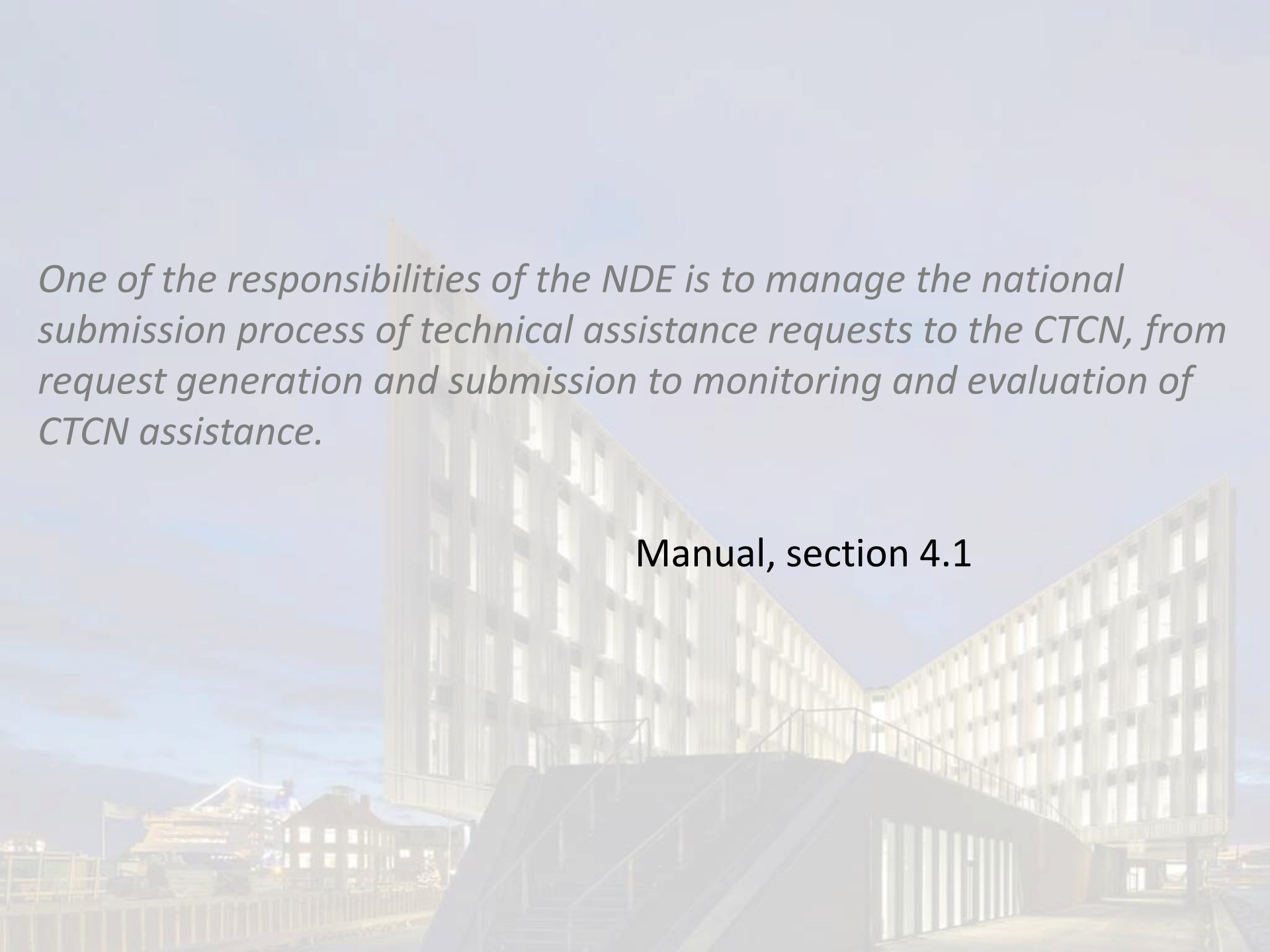


# Session Outline

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- Presentation 1: Generating and Submitting Requests
- Presentation 2: Request Processing and Selection
- Presentation 3: Response Implementation and Evaluation
- Small group exercises

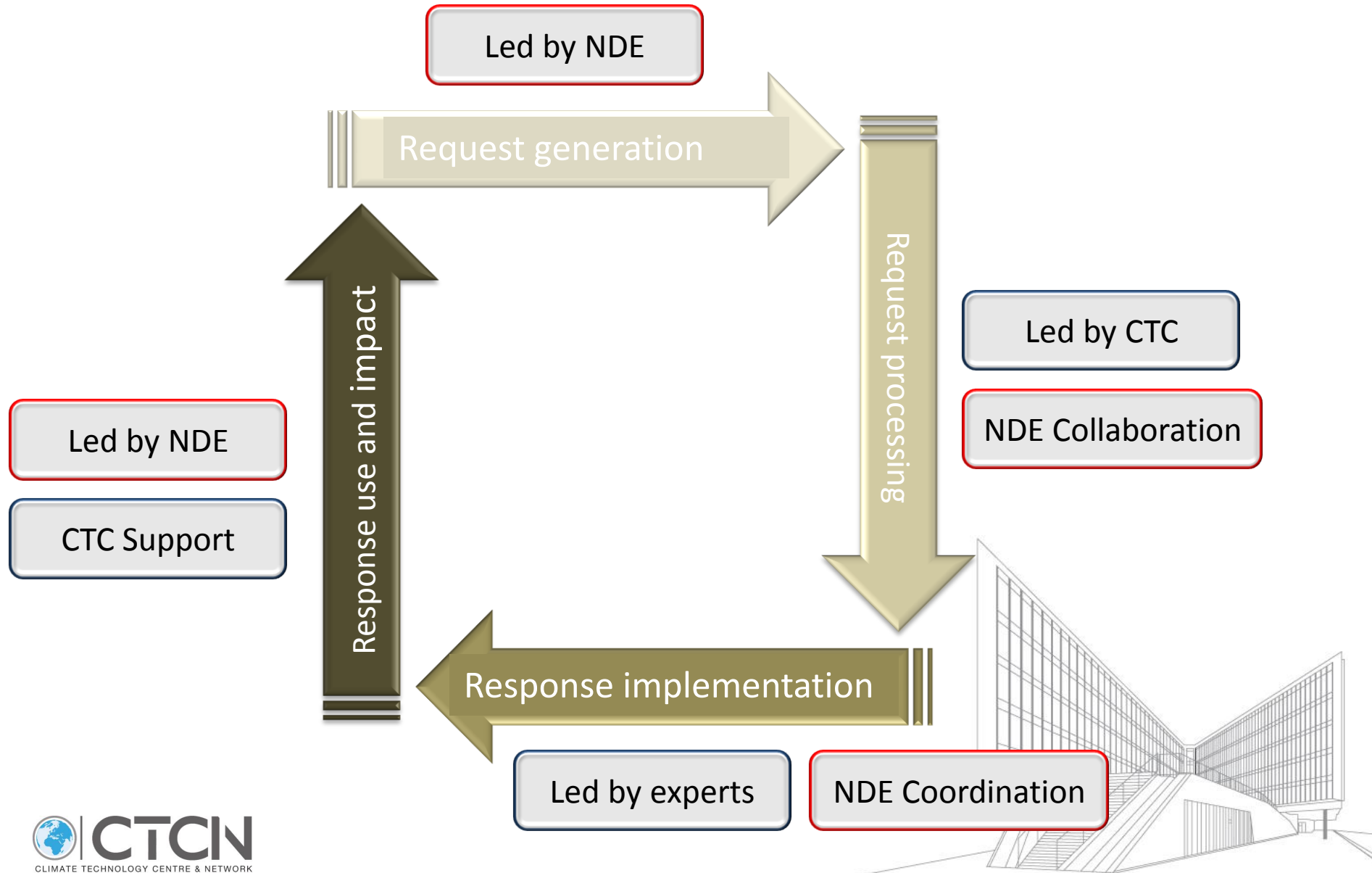




*One of the responsibilities of the NDE is to manage the national submission process of technical assistance requests to the CTCN, from request generation and submission to monitoring and evaluation of CTCN assistance.*

**Manual, section 4.1**

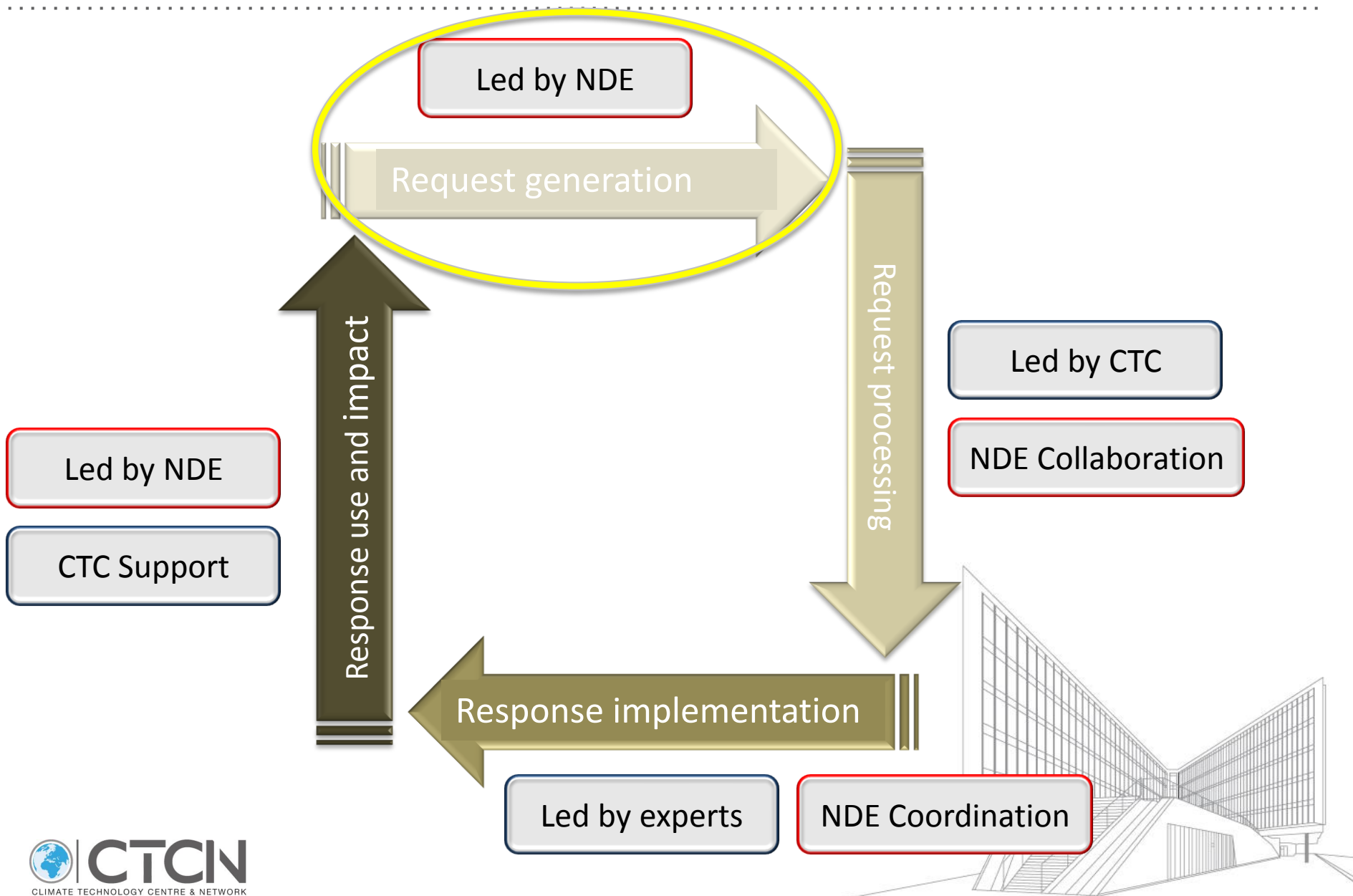
# CTCN Technical Assistance Cycle



# 1. Generating and Submitting Requests



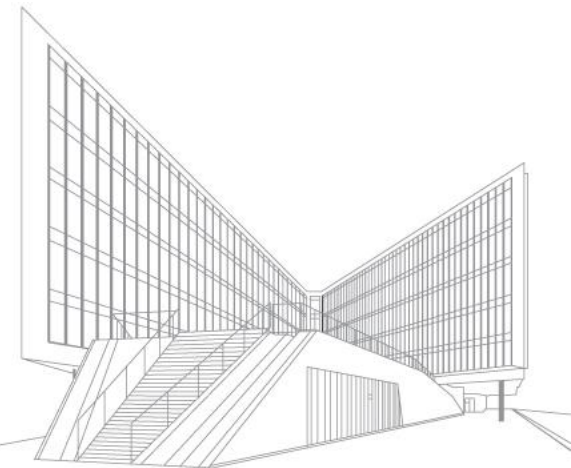
# Generating and Submitting Requests



# Presentation Outline

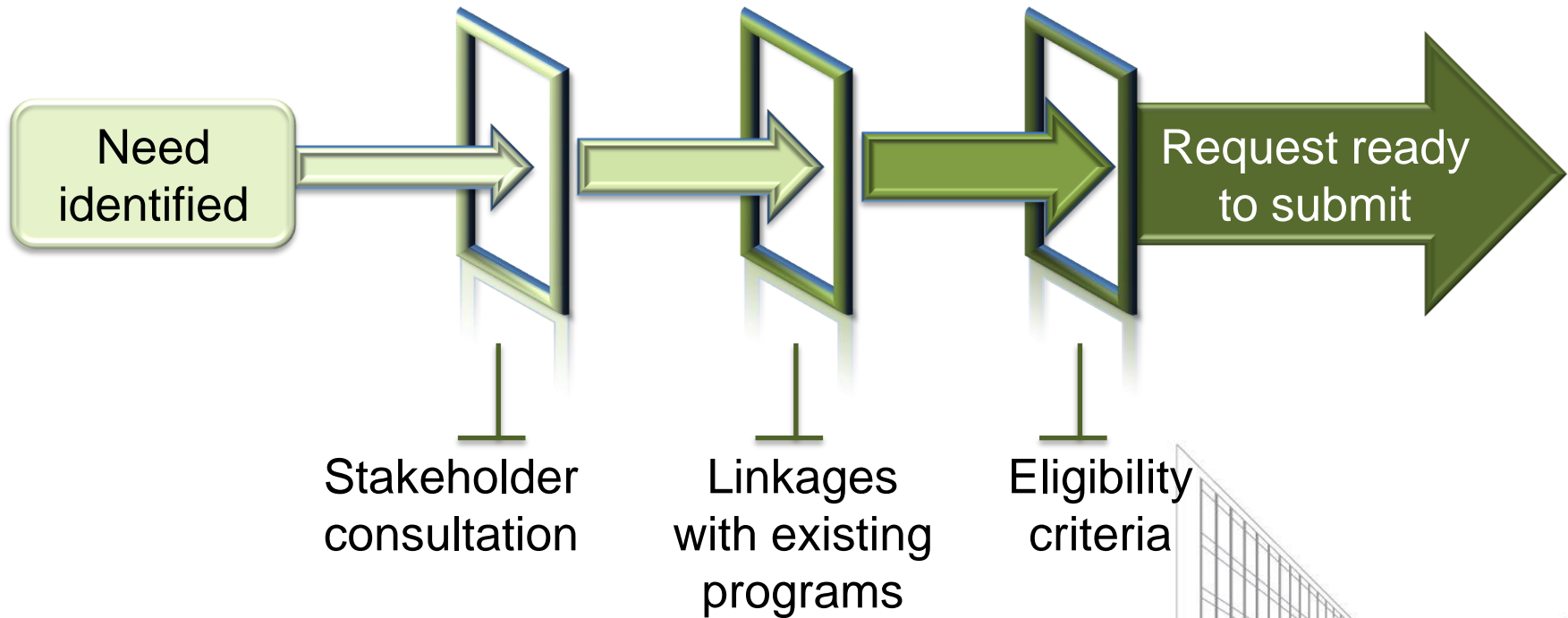
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- Generating a request
  - Stakeholder consultation
  - Linkages with existing climate change programs
  - Alignment with eligibility criteria
- Submitting a request
  - Request submission template
- Questions & answers



# Generating a Request

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# Stakeholder Consultation

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*Before submitting a technology related request to the CTCN on behalf of the national government, the NDE needs to ensure that the endorsed request for assistance **is in accordance with the government's national or regional development priorities.***

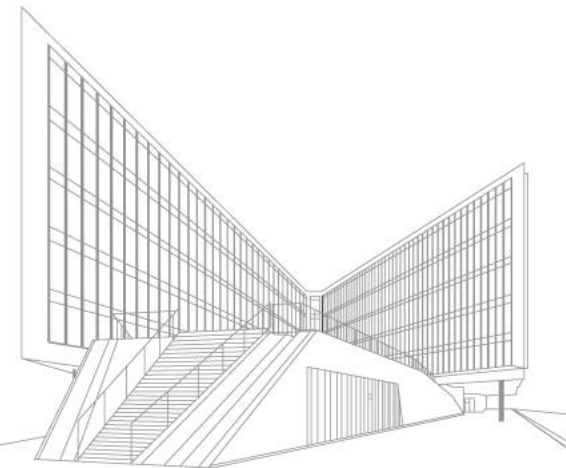
Manual, section 4.1.1

**Priority**

**Feasibility**

**Collaboration**

**Impact**



# Linkages with Existing Climate Change Programs

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Ensure linkages between the request and existing initiative « *to enhance effectiveness and scope of the CTCN interventions and leverage international funding for adaptation and mitigation activities.* »

Manual, section 4.1.2

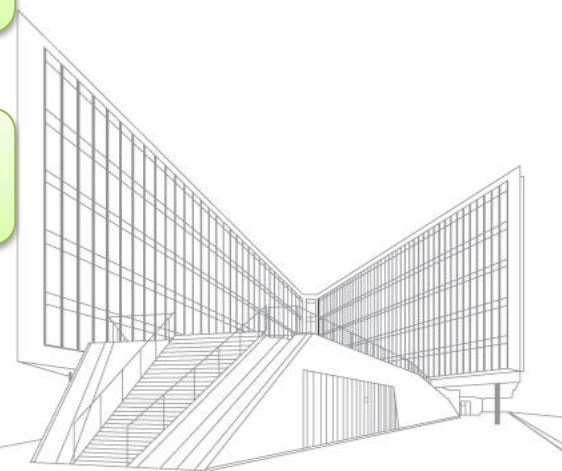
- UNFCCC projects and programmes
- Priority sectors and technologies

**Synergies**

**National priorities**

**Funding**

**Lessons learned**



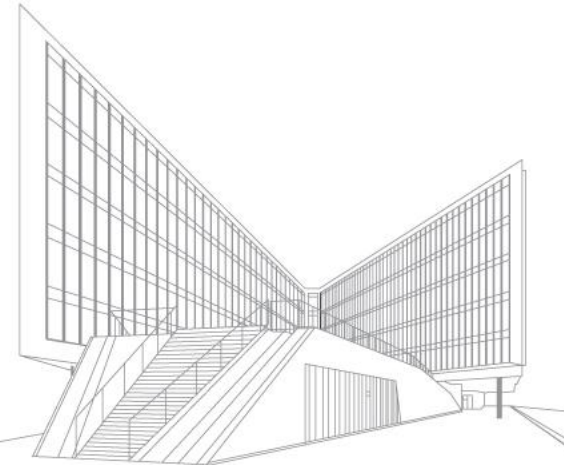
# Alignment with Eligibility Criteria

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## Guiding principles for CTCN assistance:



1. Contribute to increase resilience and/or mitigate emissions and is aligned with national plans
2. Enhance endogenous capacities
3. Process are in place in the country to monitor and evaluate any support provided



# Eligibility Criteria 1- i

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- (i) *the request submitted to the CTCN has a clear and positive benefit to the requesting country in mitigating, or adapting to the negative effect of, climate change*

Mitigating climate change goal: reduce its causes to permanently eliminate its effects



Adapting to climate change goal: anticipate its effects to prevent its damages and take advantages of its opportunities

- (ii) *The request is in line with national plans or strategies*



# Eligibility Criteria 2

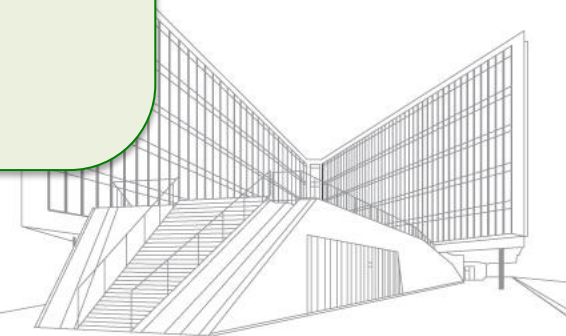
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*The support will enhance endogenous capacities.*

*This principle ensures that the (human, institutional, technological) capacity enhanced with the support of the CTCN is originating, developing, or proceeding from within the requesting country and taking in consideration its national circumstances.*

Manual, section 3.2

- >> **Ensure project adapted to circumstances**
- >> **Ensure interest of country stakeholders**
- >> **Ensure involvement of country stakeholders**
- >> **Ensure efficiency of project**
- >> **Build national capacities**
- >> **Ensure sustainability**



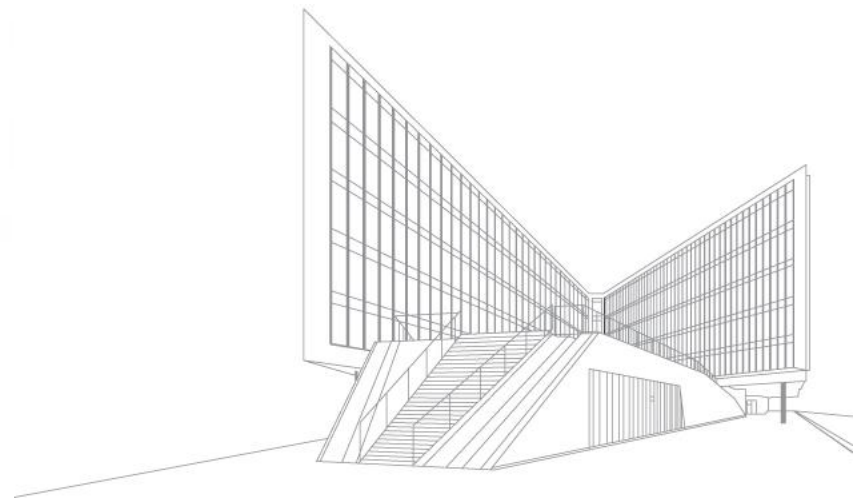
# Eligibility Criteria 3

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*Processes are in place in the requesting country to monitor and evaluate any support provided*

*This principle guarantees that project accountability is ensured by the country through effective monitoring of project implementation and impacts (environmental, social and economic). Monitoring and evaluation processes should ensure that the transfer of technology is successful in the country, beyond the sole response delivery.*

Manual, section 3.3



# Submitting a request

To be considered eligible for CTCN services, the technical assistance request must be submitted by the NDE using the CTCN request template and comply with the CTCN guiding principles of the prioritization criteria.

Manual, section 4.2.1

## Annex 4: Request Submission Template

**Annex 4: Request Submission Template - Format for Requests for CTCN Support**

**COUNTRY:** \_\_\_\_\_ **APPLICANT/CONTACT:** \_\_\_\_\_

Name: \_\_\_\_\_  
Address: \_\_\_\_\_  
Designation: \_\_\_\_\_  
Email: \_\_\_\_\_  
Phone: \_\_\_\_\_  
Fax: \_\_\_\_\_

**TITLE:** \_\_\_\_\_  
{Title of request or proposal}

**GEOGRAPHICAL FOCUS:**  Sub-national  National  Regional  Global

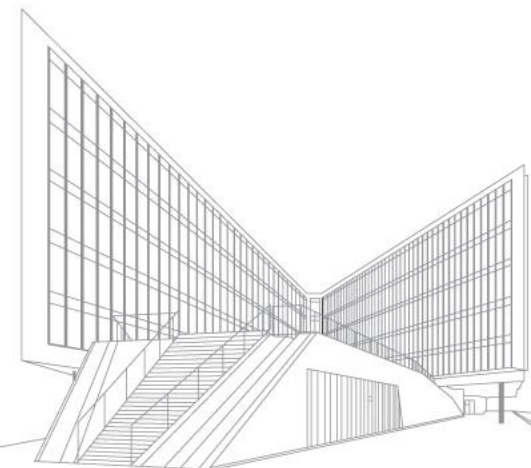
**SECTOR/THEME**  
{Select one or several relevant sectors:}

Adaptation:  Agriculture  Water  Cities  Health  Disaster Reduction  Coastal Region  Ecosystems and Biodiversity

Mitigation:  Energy  Industry  Transport  Agriculture  Waste  Forestry

**OBJECTIVES (list up to 3)**  
\_\_\_\_\_  
{Summary of main objectives of the request.  
Include overall objective(s): long-term goal(s) the project will contribute to  
Include specific objective(s): directly expected from the use of CTCN support}

**BACKGROUND INFORMATION AND CONTEXT (up to 1 page)**  
\_\_\_\_\_  
{Background information on the existing conditions surrounding the request}



# Request Submission Template

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**COUNTRY:**

---

**APPLICANT/CONTACT:**

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*Name:*

*Address:*

*Designation:*

*Email:*

*Phone:*

*Fax:*

**TITLE:**

---

*{Title of request or proposal}*

**GEOGRAPHICAL FOCUS:**    *Sub-national*    *National*    *Regional*    *Global*

---

**SECTOR/THEME**

---

*{Select one or several relevant sectors}*

*Adaptation:*

- Agriculture*
- Water*
- Cities*
- Health*
- Disaster Reduction*
- Coastal Region*
- Ecosystems and Biodiversity*

*Mitigation:*

- Energy*
- Industry*
- Transport*
- Agriculture*
- Waste*
- Forestry*



# Request Submission Template

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## **OBJECTIVES (list up to 3)**

---

*{Summary of main objectives of the request.*

*Include overall objective(s): long-term goal(s) the project will contribute to*

*Include specific objective(s): directly expected from the use of CTCN support}*

## **BACKGROUND INFORMATION AND CONTEXT (up to 1 page)**

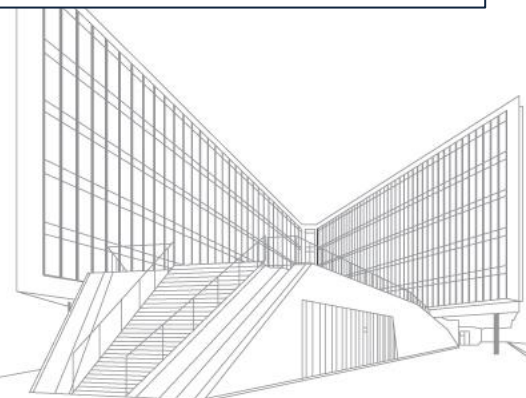
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*{Background information on the existing conditions surrounding the request*

*Main problems and difficulties the request aims to address*

*Brief description of any previous or ongoing related work being undertaken (nationally or regionally) and any bottlenecks or success stories encountered*

*If necessary, attach relevant documents}*



# Request Submission Template

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## **ALIGNMENT WITH NATIONAL DEVELOPMENT PRIORITIES (up to half a page)**

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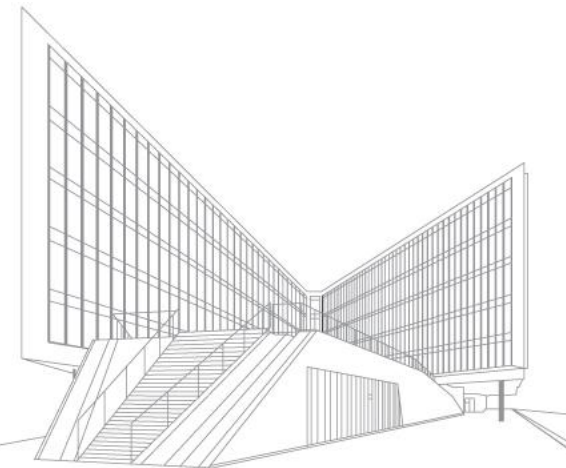
*{Justification of how the request is in line with national plan and priorities*

*{Please reference existing national documents (i.e. national development plan, poverty reduction strategy, climate change priorities, technology plans and strategies, etc.)}*

## **REQUEST PROCESS AND SELECTION (up to half a page)**

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*{Explain how the request was selected (organization(s) that initiated the process, stakeholders involved, consultations or meetings conducted, etc.)}*



# Request Submission Template

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## **STAKEHOLDERS**

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*{Please list which institutions, organizations, and private sector actors would be key in carrying out the activities requested and indicate their role in the project implementation.*

*List direct and final beneficiaries of these activities}*

<b>Name</b>	<b>Role</b>	<b>Category (Beneficiary or Partner)</b>

## **TYPE OF REQUEST AND EXPECTED ACTIVITIES (up to 1 page)**

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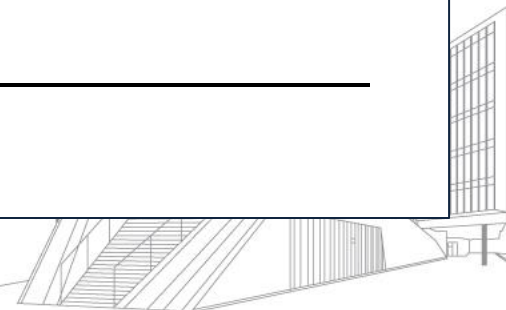
*{List the various activities to be conducted in order to meet the request*

*Indicate the main deliverable(s) to be developed}*

## **EXPECTED TIME FRAME**

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*{Approximate duration of the expected activities}*



# Request Submission Template

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## **MONITORING AND EVALUATION (up to half a page)**

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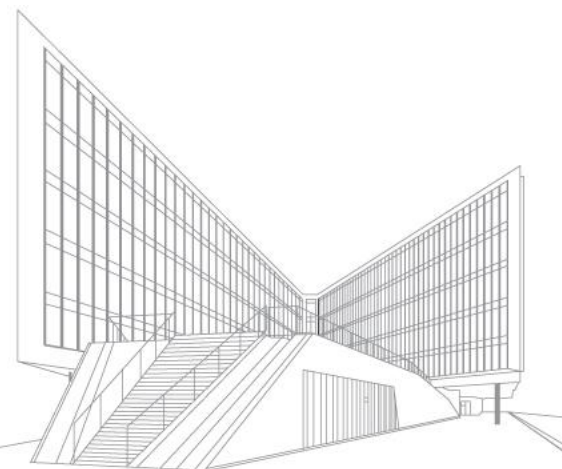
*{What **processes** can be put in place to monitor and evaluate the implementation and results of the project}*

## **EXPECTED RESULTS AND IMPACTS (up to half a page)**

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*{List the **direct results** of the activities, and the **expected economic, social and environmental impacts of the activities of the medium and long-term.**}*

*{What **follow-up steps** would be required to ensure the sustainability of the activities in the medium to long term and scale-up over time}*



# Request Submission Template

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## DATE AND SIGNATURE

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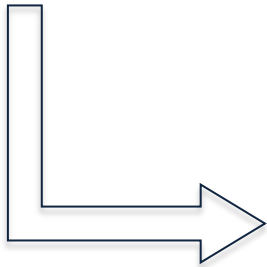
*NDE name:*

*Signature:*

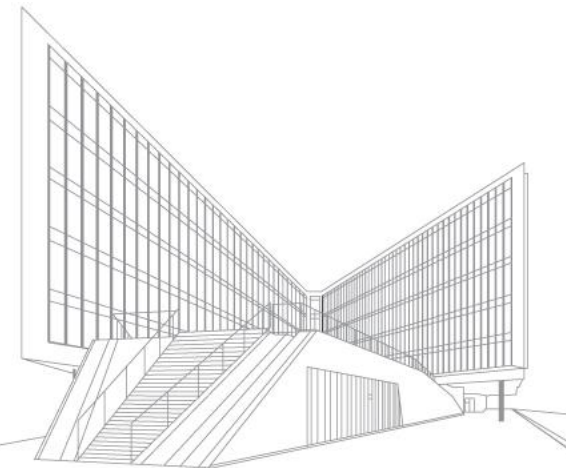
*Institution:*

*Date:*

**\*\*PLEASE ATTACH ANY RELEVANT BACKGROUND DOCUMENTS**



Send to the CTCN



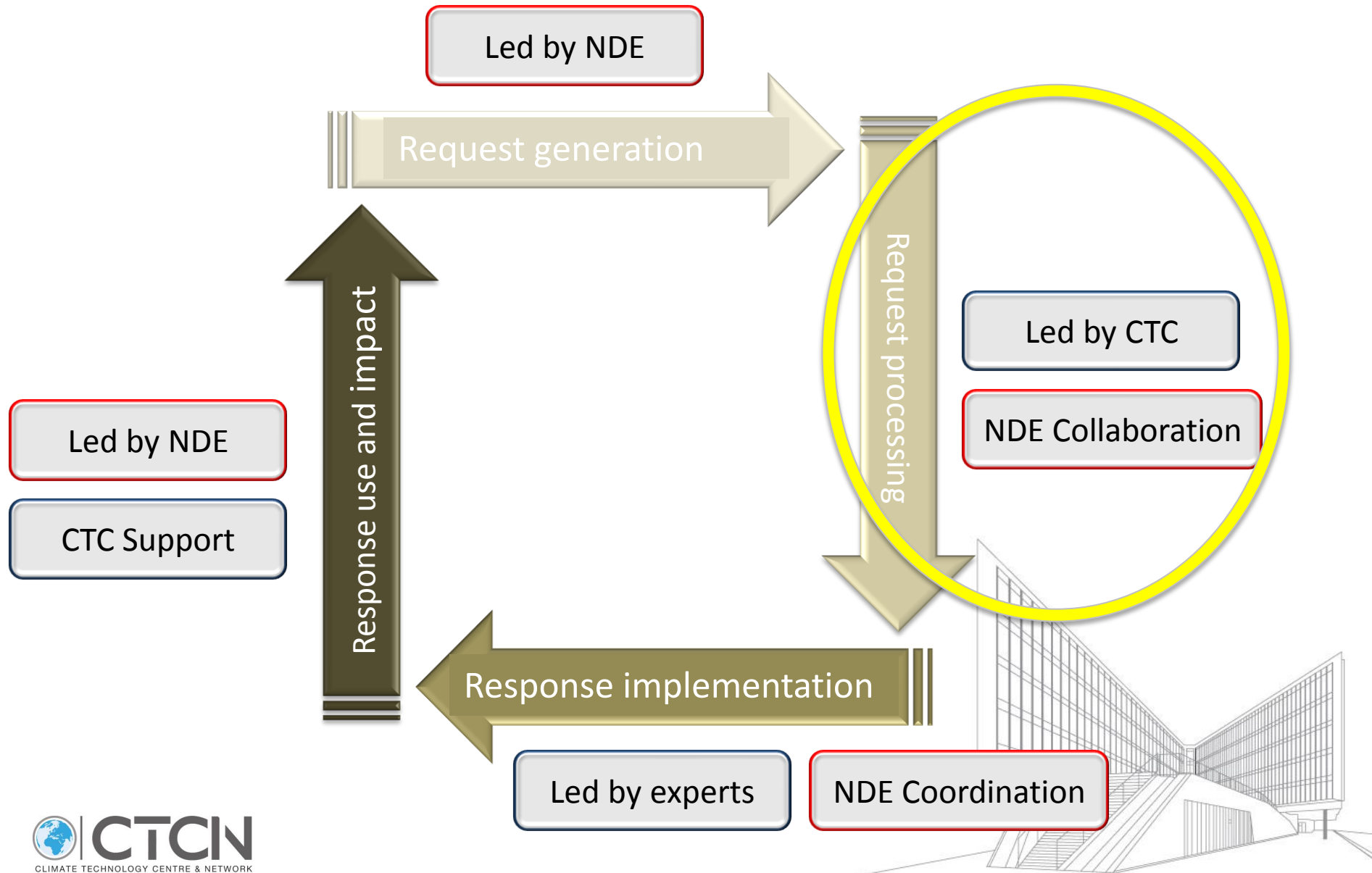
# Questions & Answers



## 2. CTC Request Processing and Selection



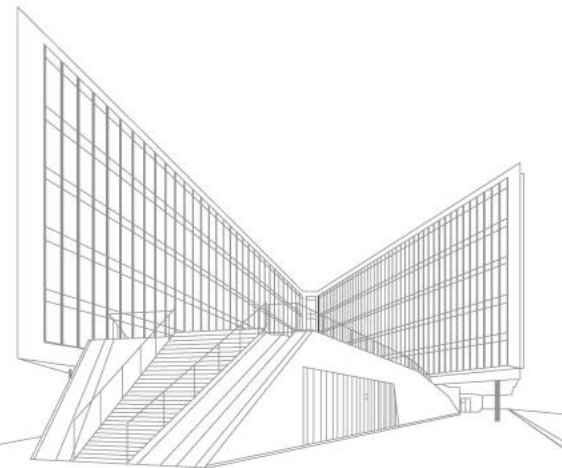
# CTC Request Processing



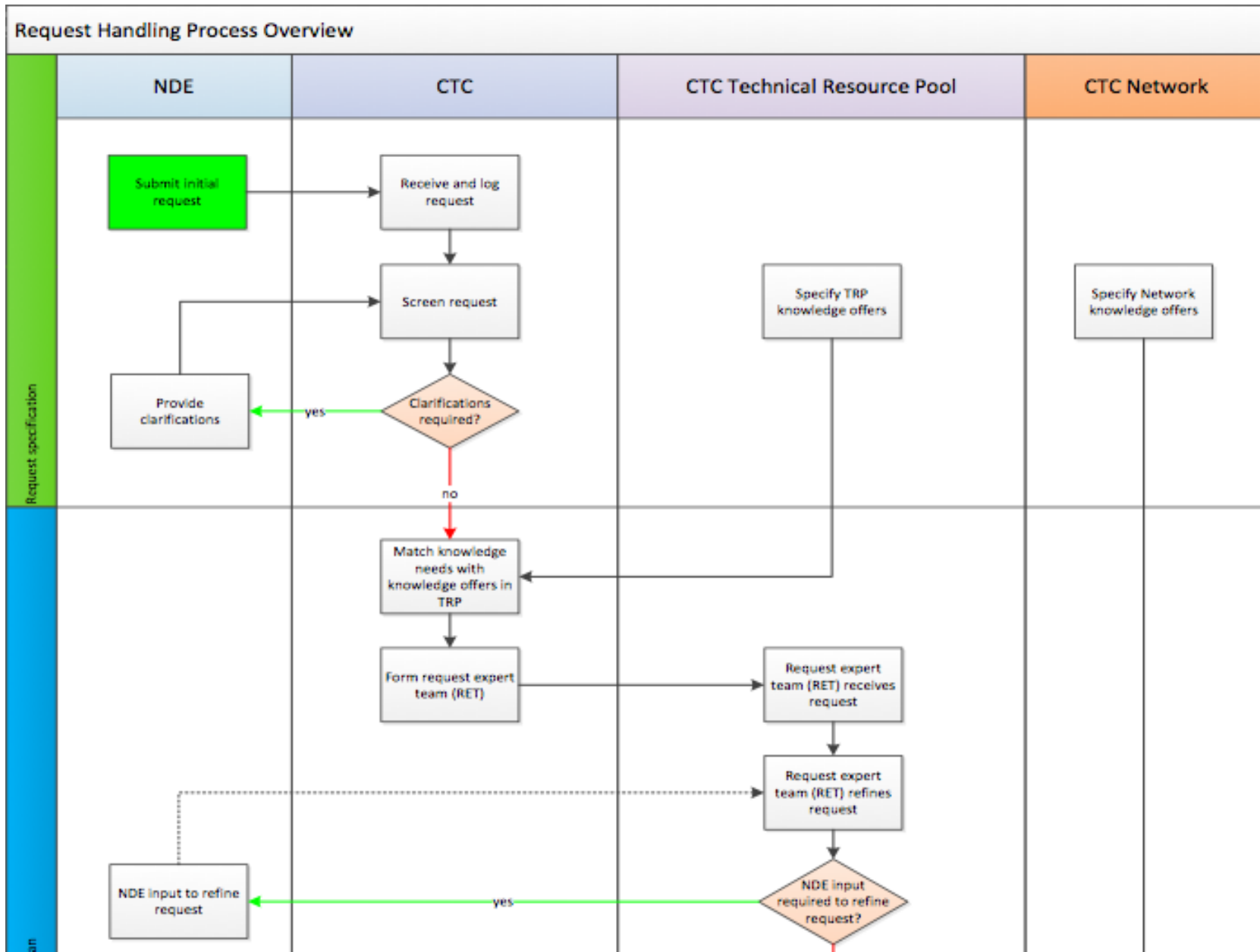
# Presentation Outline

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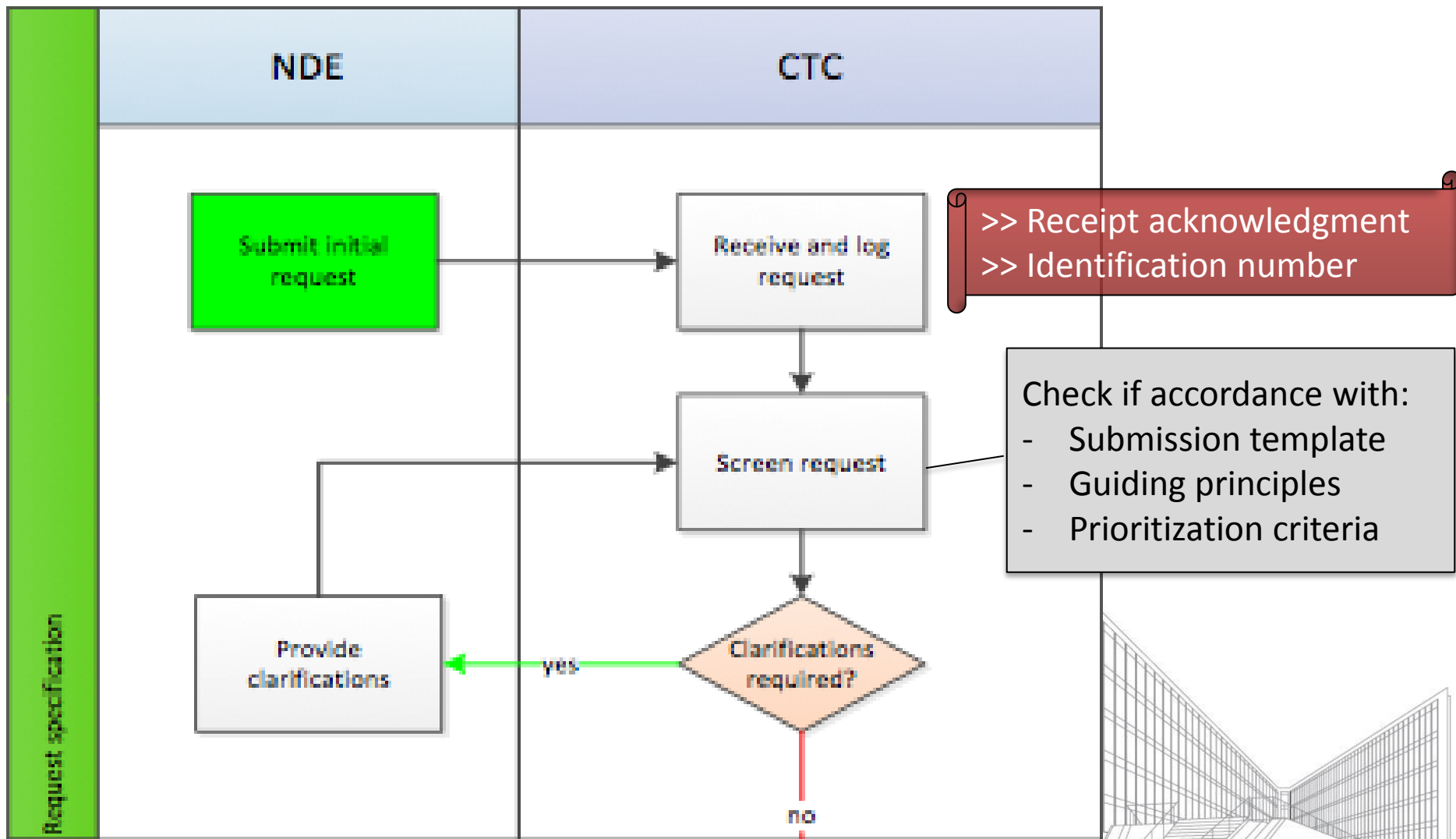
- Request processing overview
- Request specification
- Request confirmation
- Preparation of the response plan
- Delivery of the response plan
- Questions & answers



# Request Processing Overview



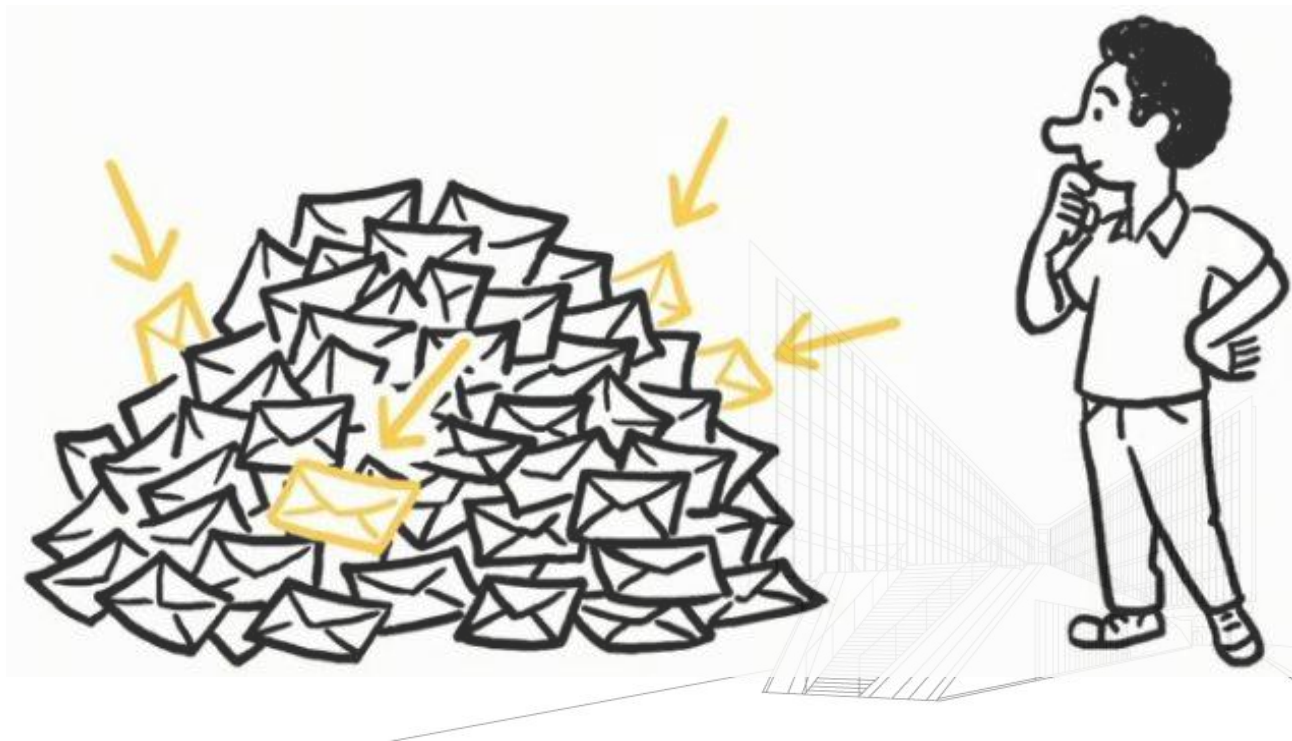
# Request Specification



# Prioritization Criteria

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- Not an eligibility criteria but support the request
- Demonstrated in the request, if possible
- Project specific
- No hierarchy



# Prioritization Criteria

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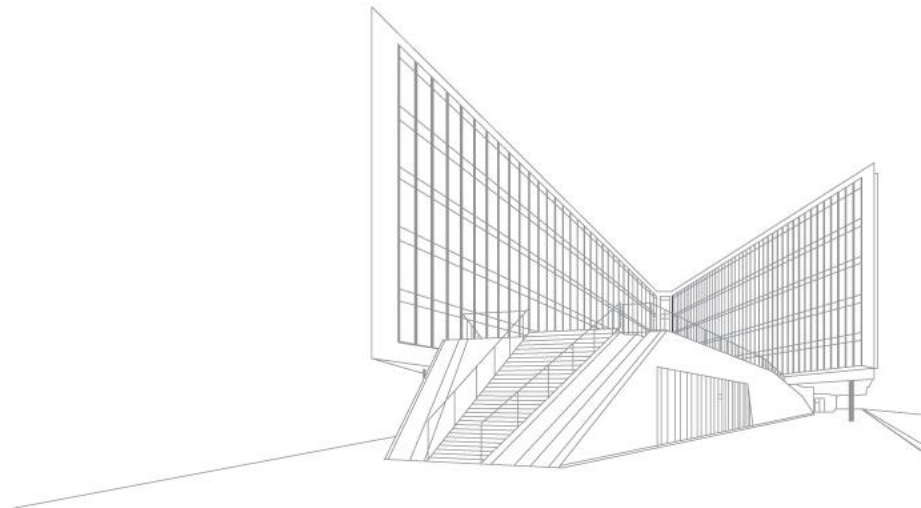
- Demonstrate “project readiness” and the potential for replication or scaling up nationally, regionally, and internationally
- Leverage public and/or private financing



# Prioritization Criteria

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- Promote endogenous and most appropriate technologies and processes
- Promote and demonstrate multiple benefits, as well as social, economic, and environmental sustainability
- Promote and demonstrate gender equality, and empowerment of vulnerable groups, including women and youth.



# Prioritization Criteria

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- Promote collaboration amongst and between stakeholders, including between countries, and having elements of South – South, bilateral, or multilateral cooperation
- Promote multi-country approaches and the regional bundling of requests



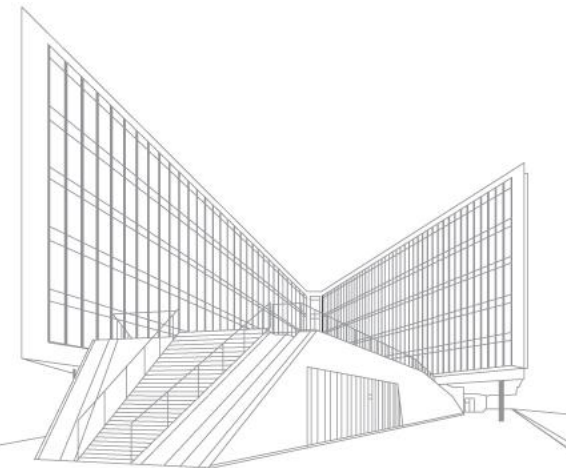
# Balancing Principles

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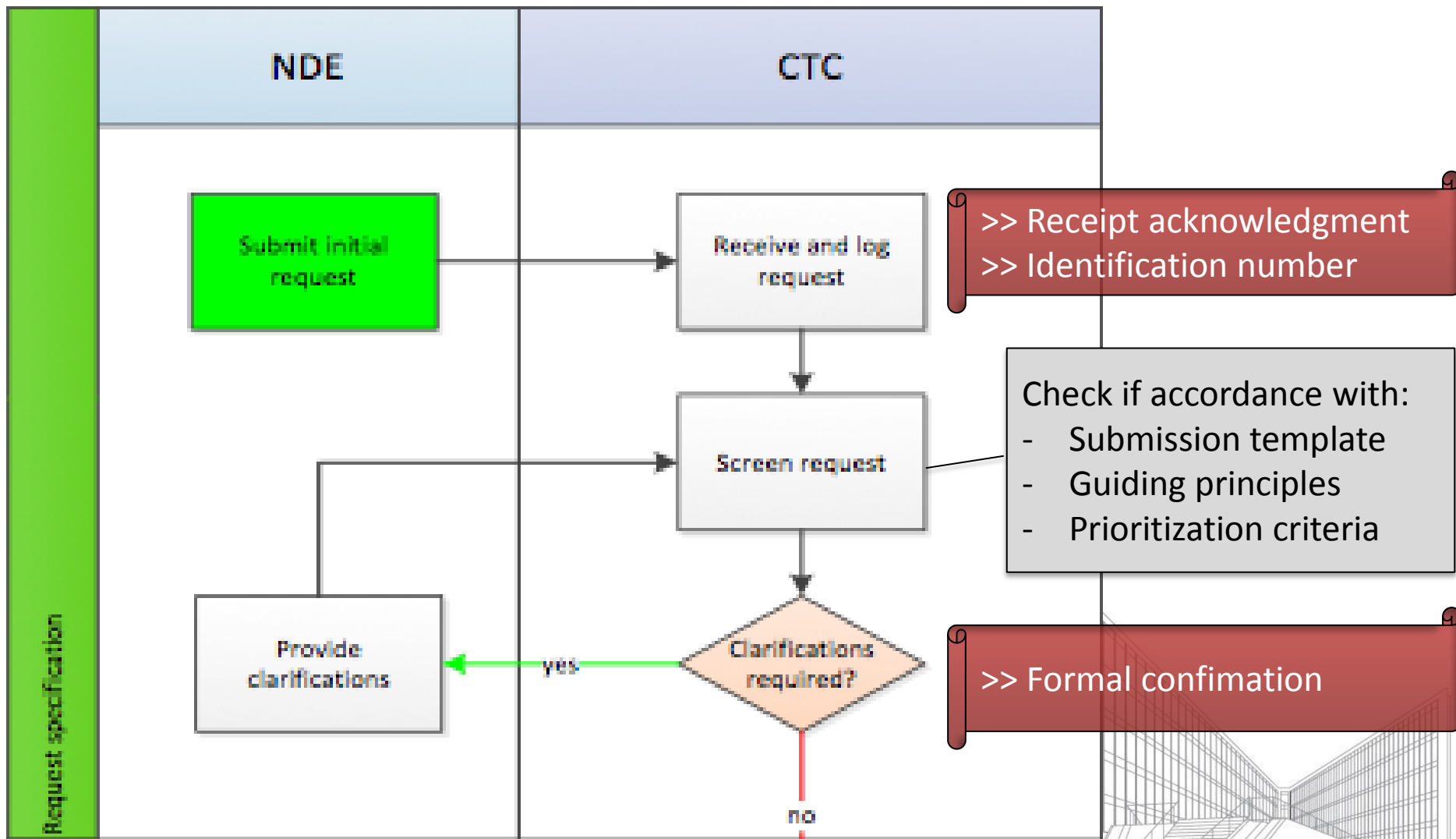
*With the aim of achieving a balanced and equitable portfolio, the CTC Director shall ensure that priority is given to requests that bring about:*

- 1. Inter and intra-regional equity, with a preference for requests submitted by LDCs and other highly vulnerable and low capacity countries*
- 2. A balance of technological-related activities covering both adaptation and mitigation*
- 3. A balance of technological related activities spanning the technology cycle.*

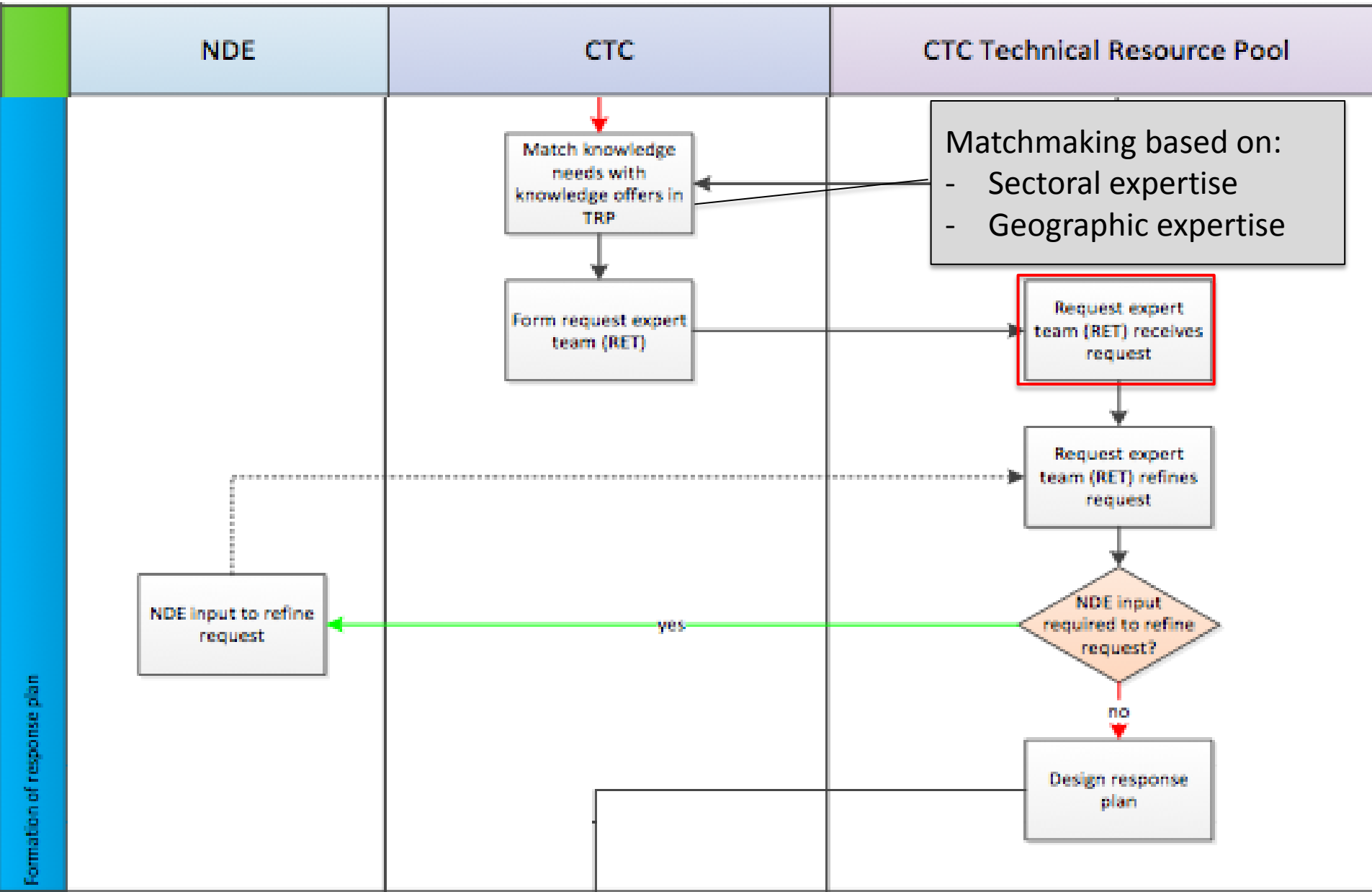
(Manual, Annex 3)



# Request Confirmation



# Preparation of the Response Plan



# Delivery of the Response Plan

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- Request summary
- Objective and expected impacts
- Scope of assistance
- CTCN assistance (activities and products)
- Planning and milestones of key deliverables
- Estimated budget
- Monitoring and evaluation process of response

**Response plan approved by NDE**



# Delivery of the Response Plan

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Identification of the type of response:

## Quick Response

- Up to US\$50,000
- Matchmaking process
- Consortium Partner

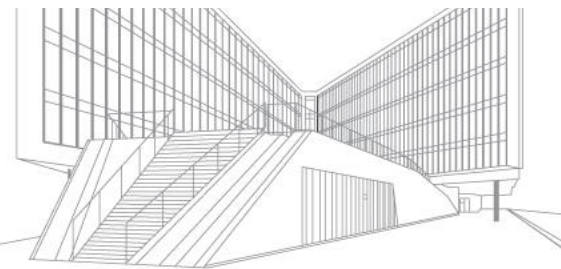
## Response Project

- Between US\$50,000 and US\$250,000
- Tendering process
- Network Member



# Delivery of the Response Plan

Activity	Scope of CTCN and Renewland collaborative activities	CTCN services	Products
Problem identification & situational analysis	<p>Characterisation of technical (resource, infrastructure, etc.), economic, institutional, human capacity, market, and financial barriers to increased RE generation</p> <p>Identification of current energy sector development plans and programs at the national and local level</p> <p>Review of the landscape of other current donor programs and trends with private sector renewable energy investment.</p>	<p>Expert assistance with barrier analysis and compilation of current energy development plans and programs</p> <p>Review of current donor programs and opportunities for linkage with these programs</p> <p>Review of private sector investment trends and interests</p>	<p>Background report on barriers, current Renewland and donor programs and investment trends</p>
National energy programme	<p>Work plan for programme development</p> <p>Establishment of government agency,</p>	<p>Provide energy programme case studies from other countries</p> <p>Support peer exchanges with other</p>	<p>Capacity built in Renewland Programme work</p>



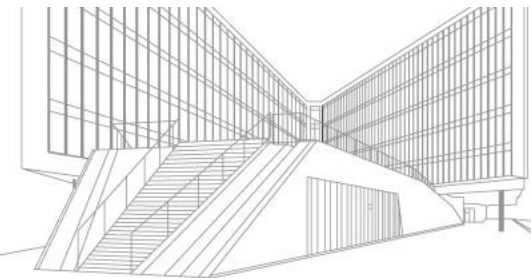
# Delivery of the Response Plan

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## Schedule

The schedule for the first two years could be as follows:

Activity	Year 1				Year 2			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Problem definition and situational analysis	■	■						
National energy programme process design		■	■					
Quantitative analysis			■	■	■	■		
National energy programme development				■	■	■	■	
Design of tariff and complementary policies				■	■	■	■	■

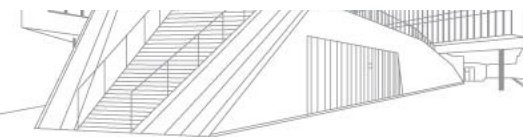


# Delivery of the Response Plan

**Table C6.2 Estimated total costs of CTCN capacity building and technical support over two years (in US\$'000)**

Activity	Labour CTCN	Travel	Other Direct Costs (e.g. data, models, etc.)	Total
Problem Identification & Situational Analysis	12	3	0	15
Energy Programme Process Design (including peer exchanges)	15	12	0	27
Quantitative Analysis* (including travel for training)	60	15	10	85
Energy Programme Preparation*	70	8	0	78
Development of Tariff and Programme Measures* (including training and peer exchanges)	70	15	0	85
<b>Total</b>	<b>227</b>	<b>53</b>	<b>10</b>	<b>290</b>

\*Additional technical support for these tasks may be required beyond the resource levels described here, in which case the CTC will assist Renewland in matchmaking with donor that could provide further assistance.



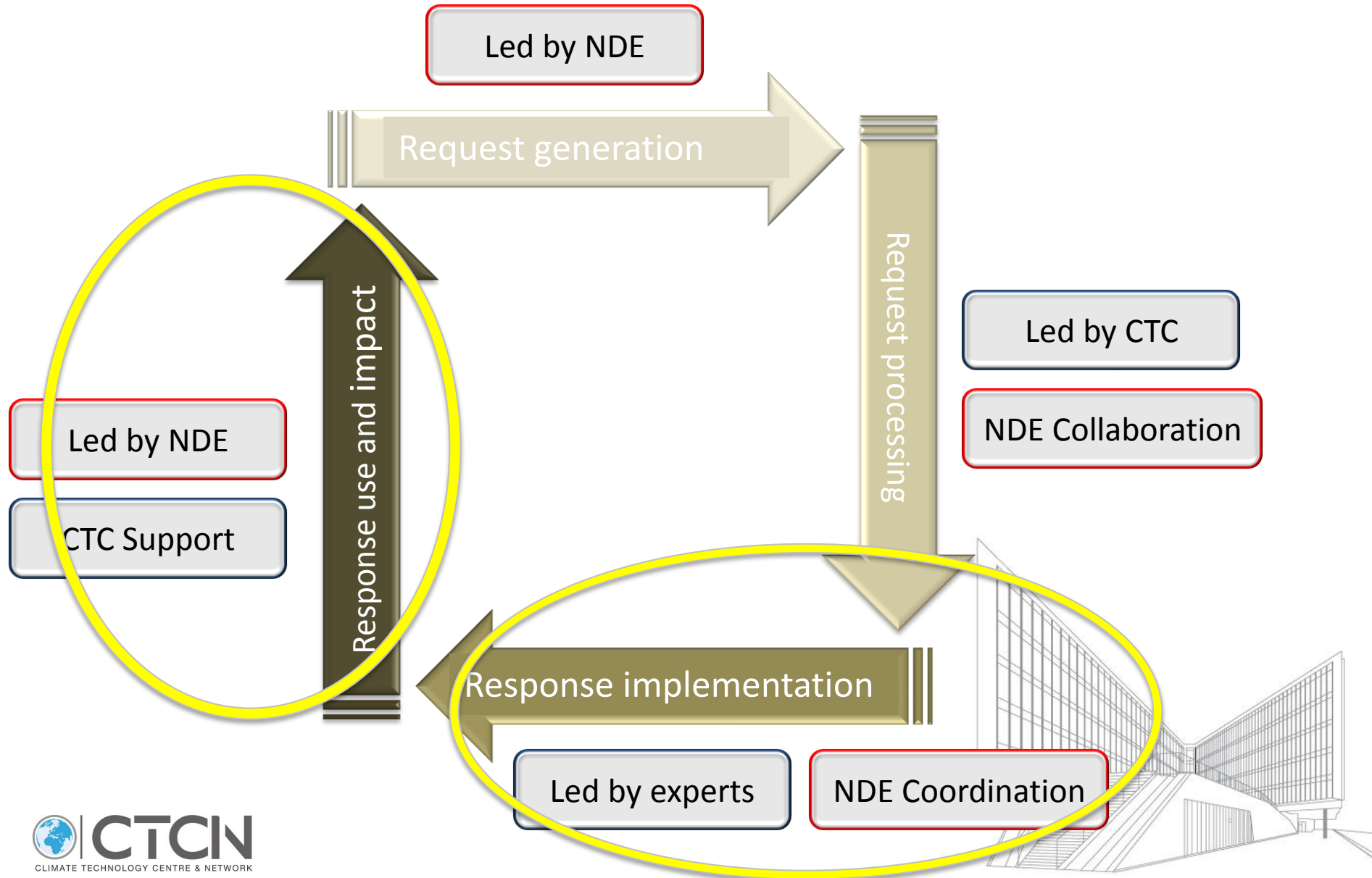
# Questions & Answers



# 3. Response Implementation and Evaluation



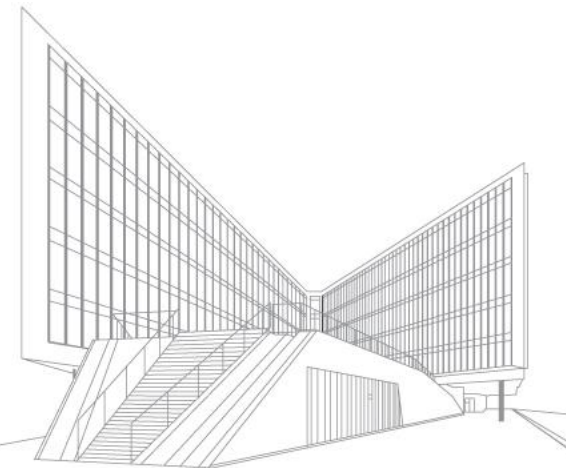
# Response Implementation, Evaluation, Reporting



# Presentation Outline

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- Response implementation and monitoring
- Response delivery and evaluation  
    Response Evaluation Form
- Response impact and assessment  
    Impact Assessment Form

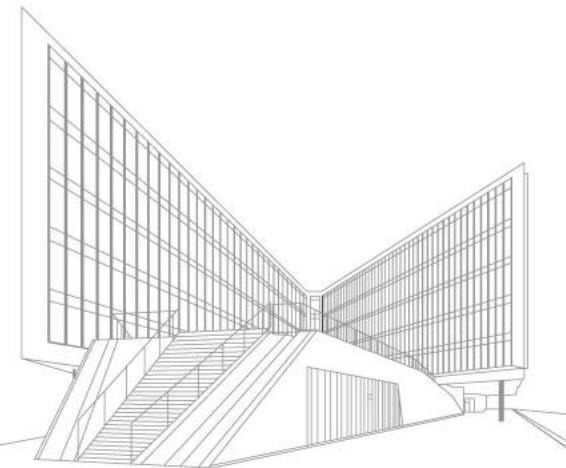


# Response Implementation and Monitoring

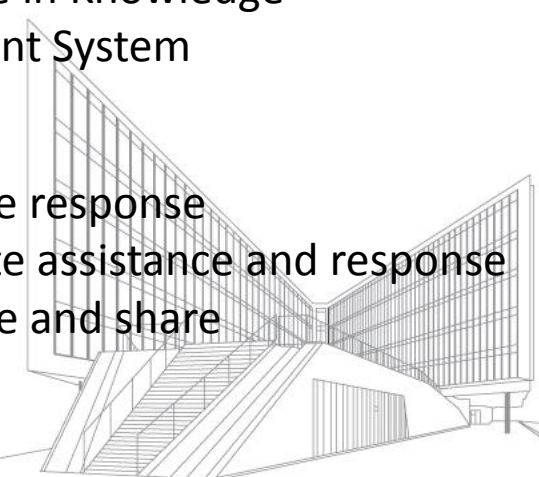
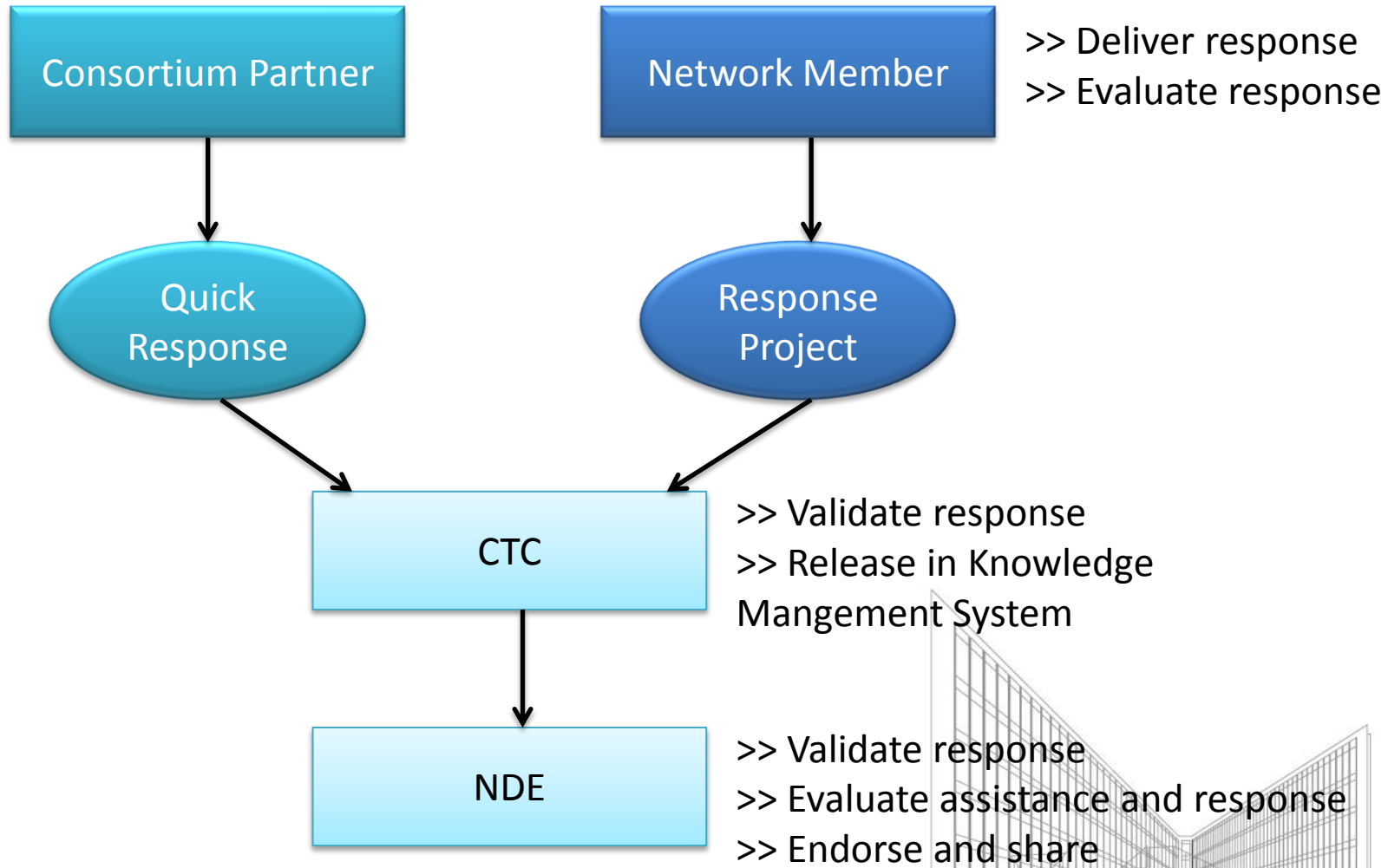
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## Guided by the Response Plan

- Regular communication with response provider
- Regular communication with stakeholders involved
- Coordination between expert team and NDE
- Oversee progress of activities
- Feedback on progress, if any
- Meeting at specific milestones
- Point out needs for adjustments



# Response Delivery and Evaluation



# Response Evaluation Form

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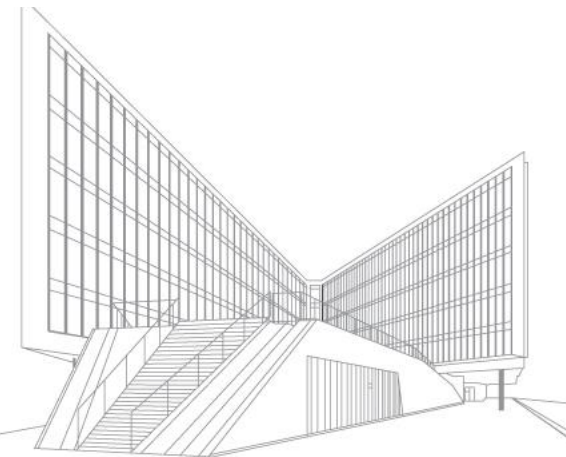
## Annex 5: Response Evaluation Form - Format for Evaluation of CTCN Support

**COUNTRY:**

**PROJECT NUMBER/REFERENCE:**

**TITLE:**

*{Title of request or proposal}*



# Response Evaluation Form

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## OBJECTIVES

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*{Objectives as described in the request}*

## ACHIEVEMENTS

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*{Please list accomplishments during the project timeframe*

*Explain how the response was consistent with the expressed need*

*Explain if and how the intended objectives have been achieved*

*Assess if the response was delivered in a timely manner and according to capacities available}*

## REQUEST REVISION

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*{Describe and explain any changes from the original response plan and the Terms of References}*

*{List expected accomplishments that were not achieved. Explain why}*

# Response Evaluation Form

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## IMPACTS AND SUSTAINABILITY

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*{Describe the immediate and **expected impact** of the project}*

## LESSONS LEARNED

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*{Describe successes and difficulties encountered throughout implementation  
Propose **improvements and suggestions** to avoid such difficulties in the future}*

## RESPONSE DELIVERY

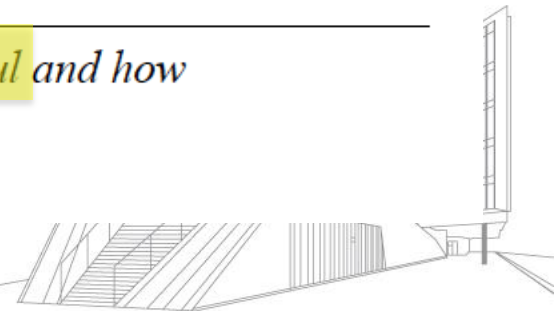
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*{Please explain whether the **provider of the assistance was satisfactory**  
according on the agreed plans, and how it could have been improved}*

## CTCN ASSISTANCE

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*{Please explain how **CTCN assistance and procedures were helpful** and how  
they could be improved}*



# Response Evaluation Form

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## NEXT STEPS

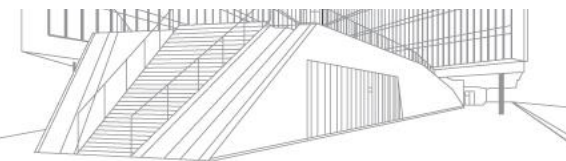
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*{Explain how the response will be used (includes the process, stakeholders, timeframe) to effectively transfer technology in the country*

*Provide specific timeline and milestones on how the response will be used*

*Propose periodic communication with the CTCN to monitor impacts}*

Expected activities and effects	Year 1				Year 2			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
1) .....								
2) ...								
3) ...								
4) ...								



# Response Evaluation Form

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## OTHER COMMENTS AND REMARKS

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## DATE AND SIGNATURE

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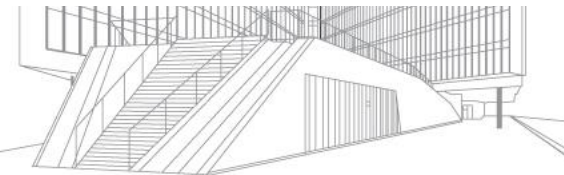
*NDE name:*

*Signature:*

*Institution:*

*Date:*

**\*\*PLEASE ATTACH ANY RELEVANT BACKGROUND DOCUMENTS**

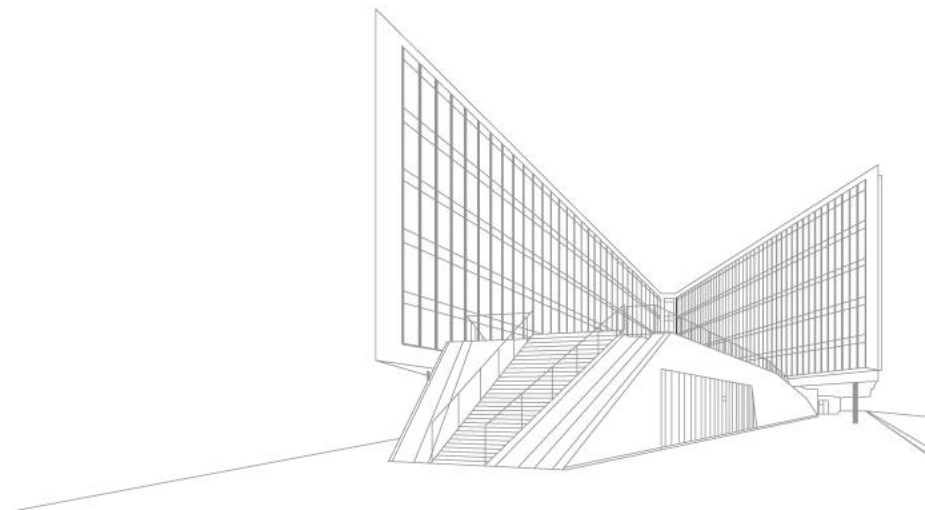


# Response Impact and Assessment

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*After the project, the NDE will maintain periodic communication with national partners involved in the process and report to the CTCN on the environmental, social and economic impacts (long term) of the assistance that was provided.*

Manual, section 6.3.3



# Impact Assessment Form

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## **Annex 6: Impact Assessment Form - Format for Impact Assessment of CTCN Support**

**COUNTRY:**

**PROJECT NUMBER/REFERENCE:**

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**TITLE:**

---

*{Title of request or proposal}*

**OBJECTIVES**

---

*{List objectives as described in the request}*

**ACHIEVEMENTS AND BENEFITS**

---

*{List achievements as described in the evaluation}*

# Impact Assessment Form

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## IMPACTS

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*{Have the objectives and expected impact been attained? Explain why*

*Describe how the response has been used since the end of the project*

*Explain if and how the response had created changes*

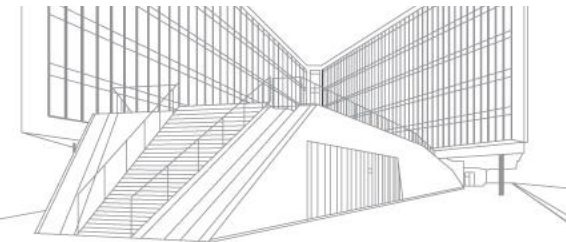
*Add any suggestions to ensure stronger impact of the response or a similar response}*

## NEXT STEPS

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*{Describe any plans to further use the response in the future*

*If there are no plans to further use it, explain why }*



# Impact Assessment Form

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## OTHER COMMENTS AND REMARKS

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## DATE AND SIGNATURE

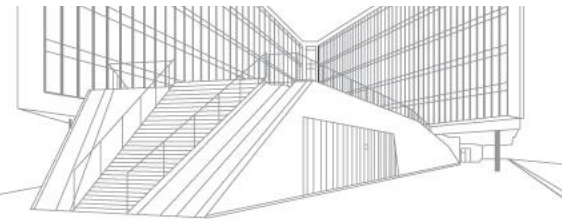
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*NDE name:*

*Signature:*

*Institution:*

*Date:*



# Questions & Answers



**We want your feedback !**



**CT**

CLIMATE TECHNOLOGY CE

# 4. Small Group Exercises



# Criteria Check List

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- Increase resilience and/or mitigate emission
- Is in line with national plans
- Enhance endogenous capacities of the country
- Demonstrate monitoring and evaluation processes in the country
- Promote endogenous and most appropriate technologies and processes
- Demonstrate “project readiness” and the potential for replication or scaling up nationally, regionally, and internationally
- Promote collaboration amongst and between stakeholders, including between countries, and having elements of South – South, bilateral, or multilateral cooperation
- Leverage public and/or private financing
- Promote multi-country approaches and the regional bundling of requests
- Promote and demonstrate multiple benefits, as well as social, economic, and environmental sustainability
- Promote and demonstrate gender equality, and empowerment of vulnerable groups, including women and youth.



Thank you for  
your attention !



**Give examples of CTCN assistance that would help your country with mitigation or adaptation of technology barriers**



**CTCIN**

CLIMATE TECHNOLOGY CENTRE & NETWORK

# Exercise Guidelines

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Groups: 4/5 persons per group

Duration: one hour

Document: sample request summaries

- Using the request summaries, fill in the request template as much as possible. Some questions will remain unanswered and some answers will be inadequate or incomplete.
- Answer the following questions:
  - What is missing in the request and how to work with the country organization and various stakeholders to obtain it?
  - What parts of the request template are the most challenging?

