



United Nations
Framework Convention on
Climate Change



CTCN

CLIMATE TECHNOLOGY CENTRE & NETWORK

CTCN Manual for National Designated Entities



Objectives of the next 3 sessions

1. Get acquainted with:

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

2. Have the capacity to:

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

Outline of the next 3 sessions

1. Generating and Submitting Requests

Presentation, discussion and group exercise

2. Request Processing and Selection

Presentation, discussion, group exercise

3. Response Implementation and Evaluation

Presentation and discussion

CTCN Operating Manual for National Designated Entities (NDEs)

Version 1.0 November 2013

CTCN Operating Manual for National Designated Entities (NDEs)

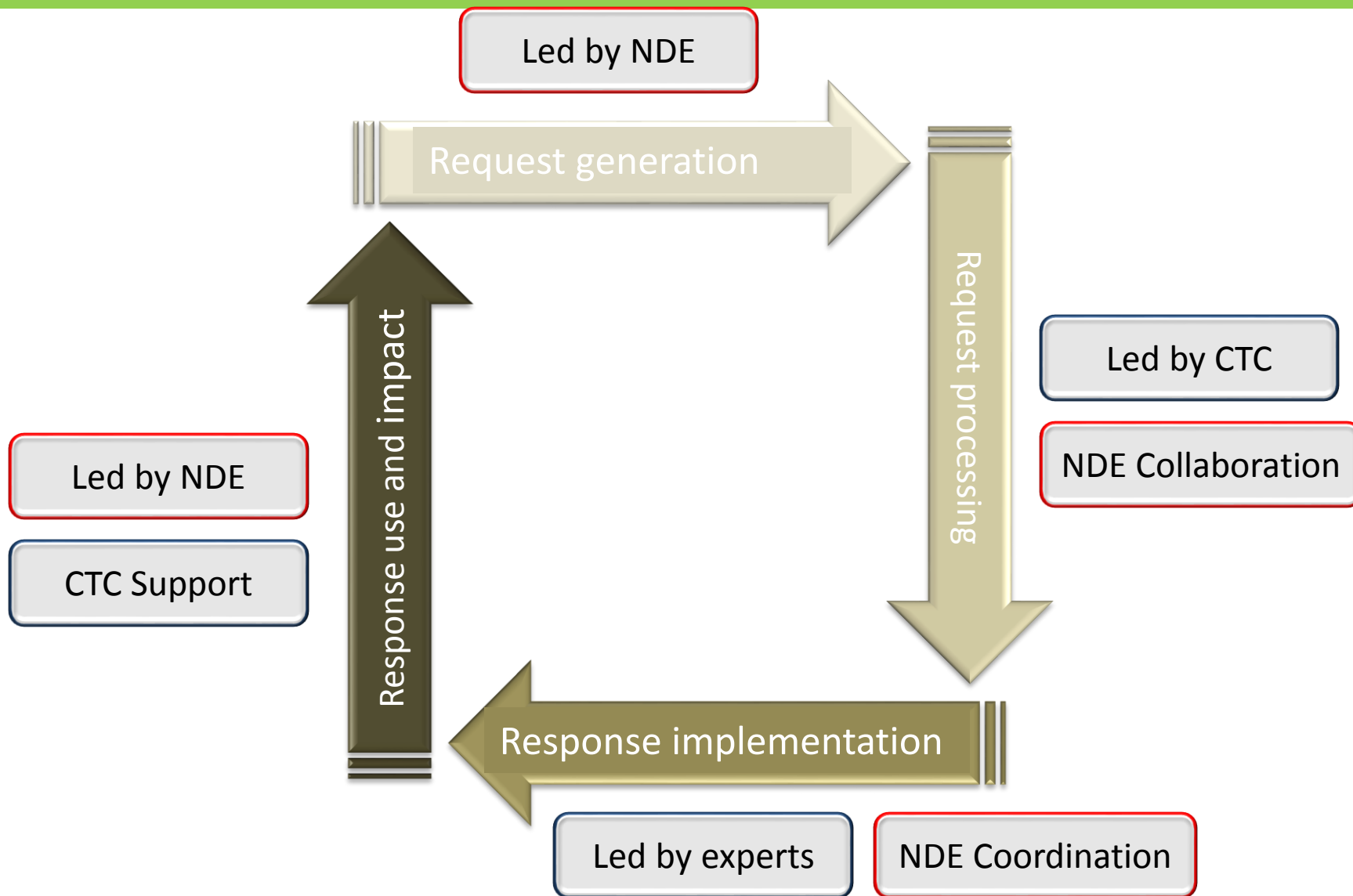


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One of the responsibilities of the NDE is to manage the national submission process of technical assistance requests to the CTCN, from request generation and submission to monitoring and evaluation of CTCN assistance.

Manual, section 4.1

CTCN Technical Assistance Cycle



Presentation 1. Generating and Submitting Requests



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Outline of the next 3 sessions

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Presentation, discussion and group exercise

2. Request Processing and Selection

Presentation, discussion, group exercise

3. Response Implementation and Evaluation

Presentation and discussion

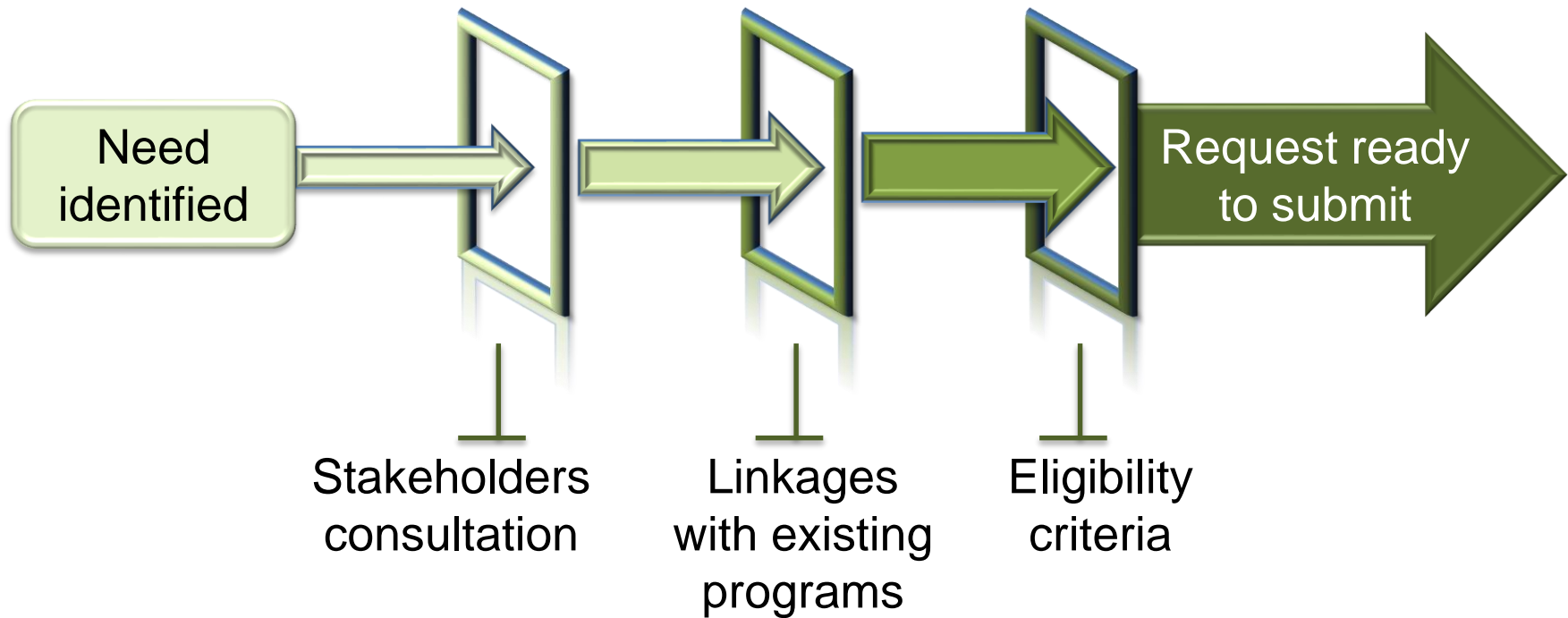
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Generating a Request



Stakeholder Consultation

*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 Programmes

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

Guiding principles for CTCN assistance:



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

Eligibility Criteria 1- i

- (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

The support will strengthen national 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

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

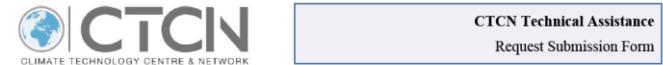


Submitting a request

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 Form:



Please fill in the form in the grey spaces, by following the instructions in italic.

Country:		Date	
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Title	
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Contact information:		
<i>Please fill in the table below with the requested information. The request proponent is the organization that the request originates from, if different from the National Designated Entity (NDE).</i>		
	National Designated Entity	Request Proponent
Contact person:		
Position:		
Organization:		
Phone:		
Fax:		
Email:		
Postal address:		

Geographical focus:
<i>{Select below the most relevant geographical level for this request:}</i>
<input type="checkbox"/> Community-based
<input type="checkbox"/> Sub-national
<input type="checkbox"/> National
<input type="checkbox"/> Multi-country
<i>{If the request is related to the sub-national or multi-country level, please indicate here the areas concerned (provinces, states, countries, regions, etc.)}</i>

Theme:
<i>{Select below the most relevant theme(s) for this request:}</i>
<input type="checkbox"/> Adaptation to climate change
<input type="checkbox"/> Mitigation to climate change
<input type="checkbox"/> Combination of adaptation and mitigation to climate change

Sectors:
<i>{Please indicate here the main sectors related to the request. e.g. energy, industry, transport, waste, agriculture/fisheries, forestry, water, ecosystem/biodiversity, coastal zones, health, education, infrastructure/human settlement, tourism, businesses, early warning/disaster reduction, institutional design and mandates, cross-sectorial}</i>

Request Submission Template

Country:	
-----------------	--

Date	
-------------	--

Title	
--------------	--

Contact information: <i>Please fill in the table below with the requested information. The request proponent is the organization that the request originates from, if different from the National Designated Entity (NDE).</i>		
	National Designated Entity	Request Proponent
Contact person: Position: Organization: Phone: Fax: Email: Postal address:		

Request Submission Template

Geographical focus:

{Select below the most relevant geographical level for this request:}

- Community-based*
- Sub-national*
- National*
- Multi-country*

{If the request is related to the sub-national or multi-country level, please indicate here the areas concerned (provinces, states, countries, regions, etc.)}

Theme:

{Select below the most relevant theme(s) for this request:}

- Adaptation to climate change*
- Mitigation to climate change*
- Combination of adaptation and mitigation to climate change*

Sectors:

{Please indicate here the main sectors related to the request. e.g. energy, industry, transport, waste, agriculture/fisheries, forestry, water, ecosystem/biodiversity, coastal zones, health, education, infrastructure/human settlement, tourism, businesses, early warning/disaster reduction, institutional design and mandates, cross-sectorial}

Request Submission Template

Problem statement (up to one page):

{Please describe here the difficulties and specific gaps of the country in relation to climate change, for which the country is seeking support from the CTCN. Please only provide information directly relevant to this request, and that justifies the need for CTCN technical assistance.}



Request Submission Template

Past and ongoing efforts (*up to half a page*):

{Please describe here past and on-going processes, projects and initiatives implemented in the country to tackle the difficulties and gaps explained above. Explain why CTCN technical assistance is needed to complement these efforts, and how the assistance can link or build on this previous work.}

Assistance requested (*up to one page*):

{Please describe here the scope and nature of the technical assistance requested from the CTCN and how this could help address the problem stated above and add value vis-à-vis the past and on-going efforts. Please note that the CTCN facilitates technical assistance and is not a project financing mechanism.}

Request Submission Template

Expected benefits *(up to half a page):*

*{Please outline here the **medium and long-term impacts** that will result from the CTCN technical assistance, including how the assistance will contribute to mitigate and/or adapt to climate change.}*

Post-technical assistance plans *(up to half a page):*

*{Please describe here **how the results of the CTCN technical assistance will be concretely used** by the applicant and national stakeholders, to pursue their efforts of resolving the problems stated above after the completion of the CTCN intervention **(list specific follow-up actions that will be undertaken).**}*

Request Submission Template

Key stakeholders:

{Please list in the table below the main stakeholders who will be involved in the implementation of the requested CTCN technical assistance, and what their role will be in supporting the assistance (for example, government agencies and ministries, academic institutions and universities, private sector, community organizations, civil society, etc.). Please indicate what organization(s) will be the main/lead counterpart(s) of CTCN experts at national level, in addition to the NDE.}

<u>Stakeholder</u>	<u>Role to support the implementation of the assistance</u>
<i>Add as many lines as needed</i>	

Request Submission Template

Alignment with national priorities (up to half a page):

{Please demonstrate here that the technical assistance requested is consistent with documented national priorities (examples of relevant national priorities include: national development plans, poverty reduction plans, technology needs assessments (TNAs), LEDS, NAMAs, TAPs, NAPs, sectorial strategies and plans, etc.). For each document mentioned, please indicate where the priorities specifically relevant to this request can be found (chapter, page number, etc.).}

Development of the request (up to half a page):

{Please explain here how the request was developed at the national level and the process used by the NDE to approve the request before submitting it (who initiated the process, who were the stakeholders involved and what were their roles, and describe any consultations or other meetings that took place to develop and select this request, etc.).}

Request Submission Template

Expected timeframe:

{Please propose here a duration period for the assistance requested.}

Background documents:

{Please list here relevant documents that will help the CTCN understand the context of the request and national priorities. For each document, provide weblinks if available, to attach to the submission form while submitting the request. Please note that all documents listed/provided should be mentioned in this request in the relevant question(s), and that their linkages with the request should be clearly indicated.}

Request Submission Template

MONITORING AND EVALUATION

By signing this request, I affirm that **processes are in place in the country to monitor and evaluate** the assistance provided by the CTCN. I understand that these processes will be explicitly identified in the Response Plan in collaboration with the CTC, and that they will be used in the country to monitor the implementation of the CTCN assistance.

I understand that, after the completion of the requested assistance, **I shall support CTCN efforts to measure the success and effects** of the support provided, including its short, medium and long-term impacts in the country.

Request Submission Template

Signature:

NDE name:

Date:

Signature:

THE COMPLETED FORM SHALL BE SENT TO THE CTCN@UNEP.ORG

Need help? The CTCN team is available to answer questions and guide you through the process of submitting a request. The CTCN team welcomes suggestions to improve this form.

>>> Contact the CTCN team at ctcn@unep.org

Q & A - Discussion



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Group Exercise 1



Exercise Guidelines

Groups: 4/5 persons per group

Duration: 20 minutes

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?

Criteria Check List

- 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.



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Presentation 2. CTC Request Processing and Selection



Outline of the next 3 sessions

1. Generating and Submitting Requests

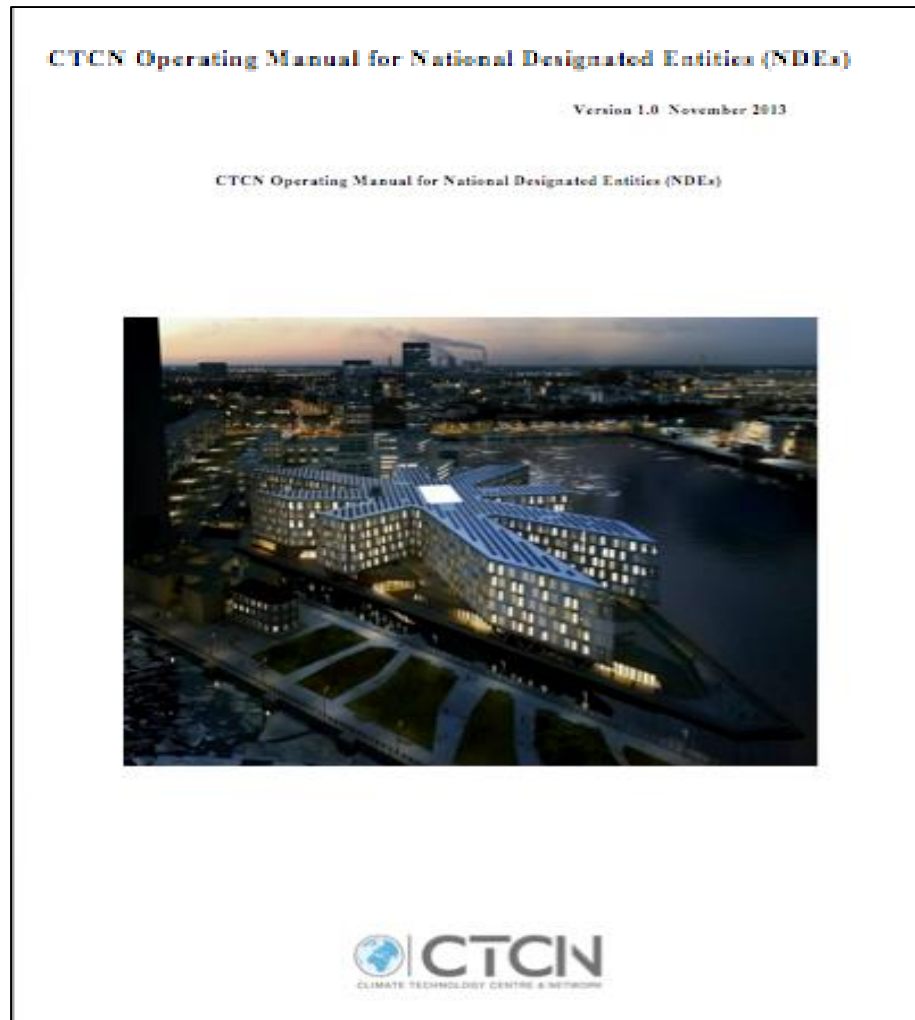
Presentation, discussion and group exercise

2. Request Processing and Selection

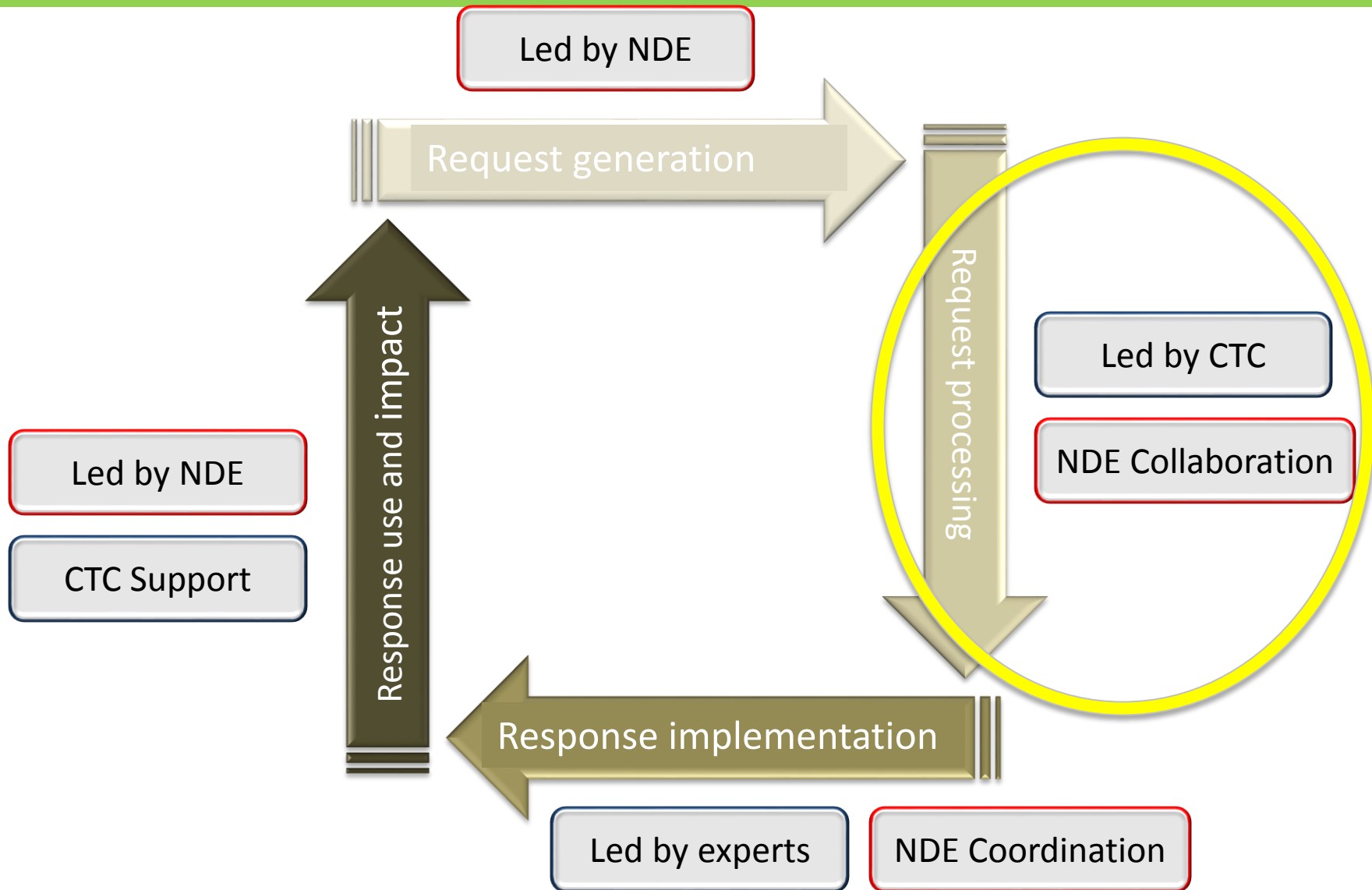
Presentation, discussion, group exercise

3. Response Implementation and Evaluation

Presentation and discussion



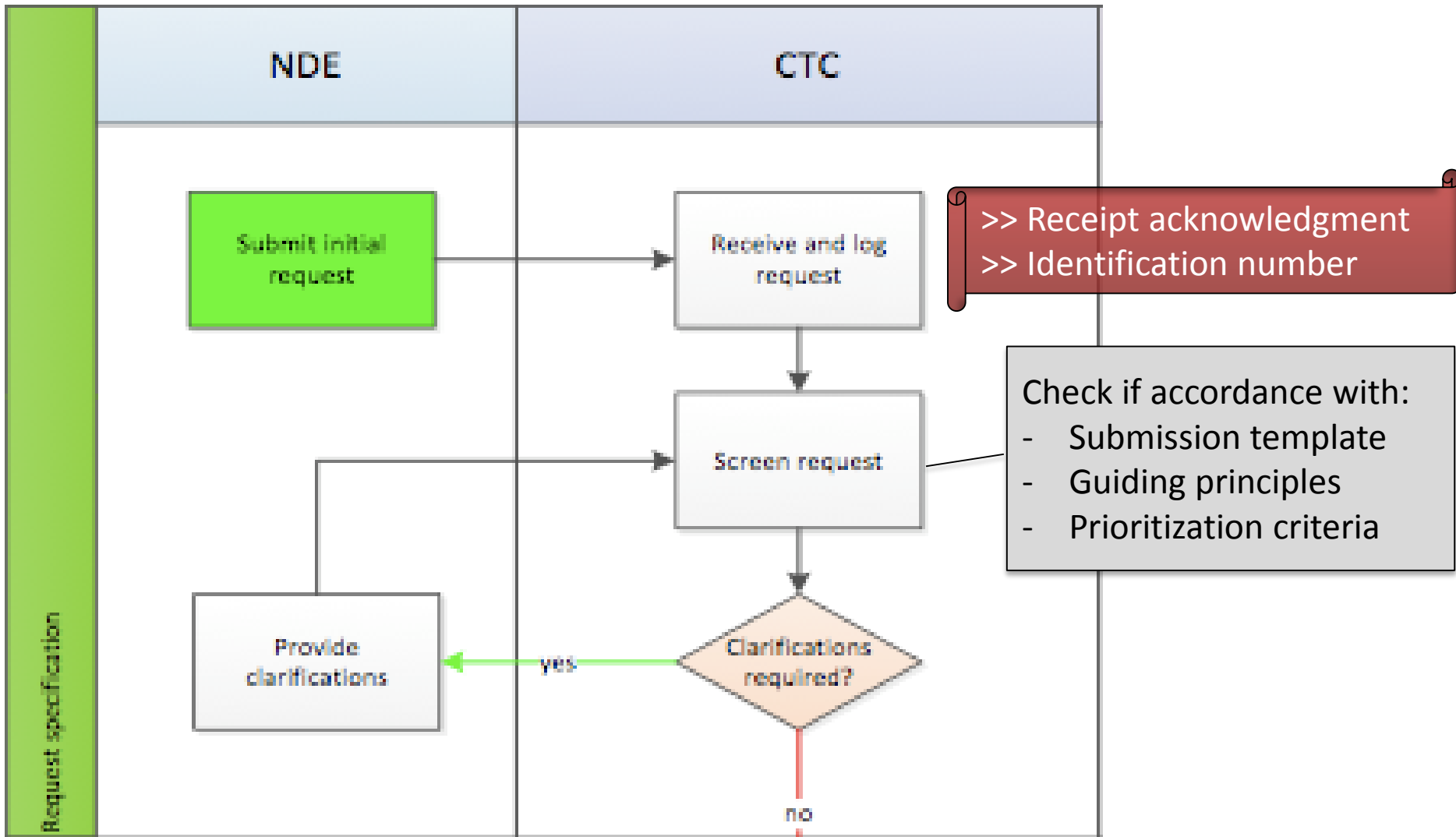
CTCN Technical Assistance Cycle



Presentation Outline

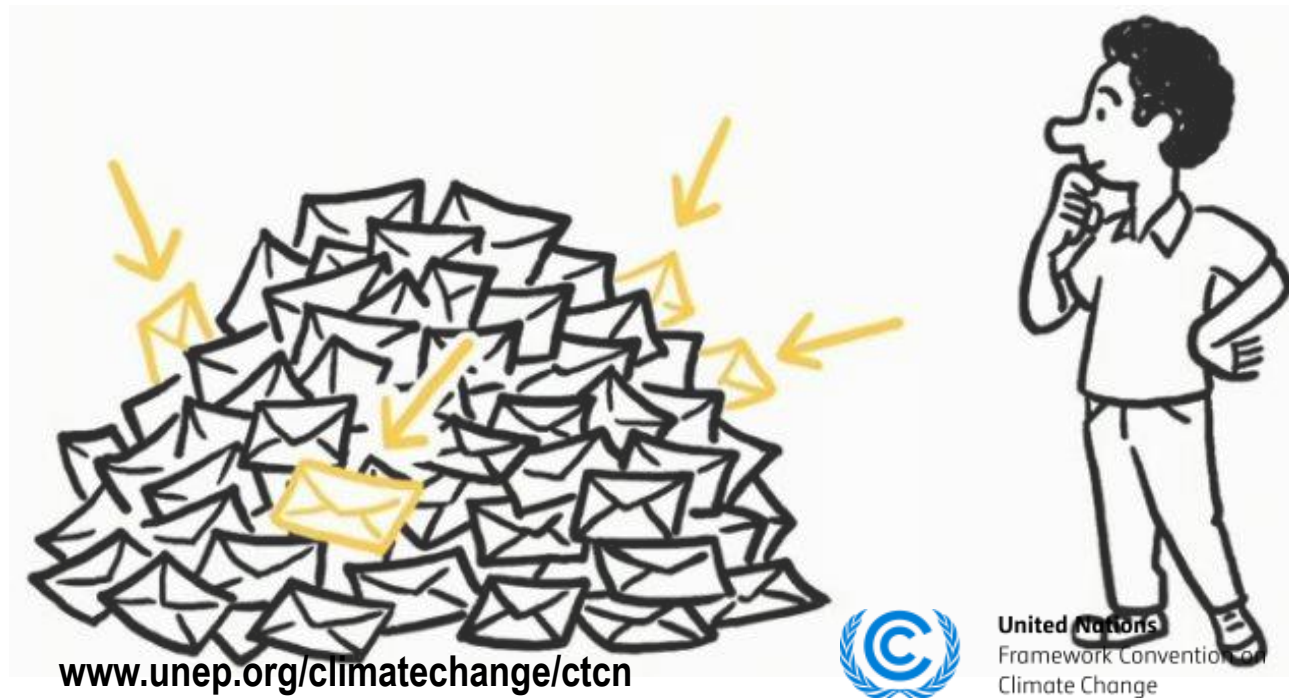
1. Request processing overview
2. Request specification
3. Request confirmation
4. Preparation of the response plan
5. Implementation of the response plan
6. Discussion

Request Specification



Prioritization Criteria

- Not an eligibility criteria but an asset
- Demonstrated in the request, if possible



Prioritization Criteria

- Demonstrate “project readiness” and the potential for replication or scaling up nationally, regionally, and internationally
- Leverage public and/or private financing
- Promote endogenous and most appropriate technologies and processes
- Promote and demonstrate multiple benefits, as well as social, economic, and environmental sustainability



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Prioritization Criteria

- Promote gender equality, and empowerment of vulnerable groups, including women and youth.
- Promote collaboration among 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

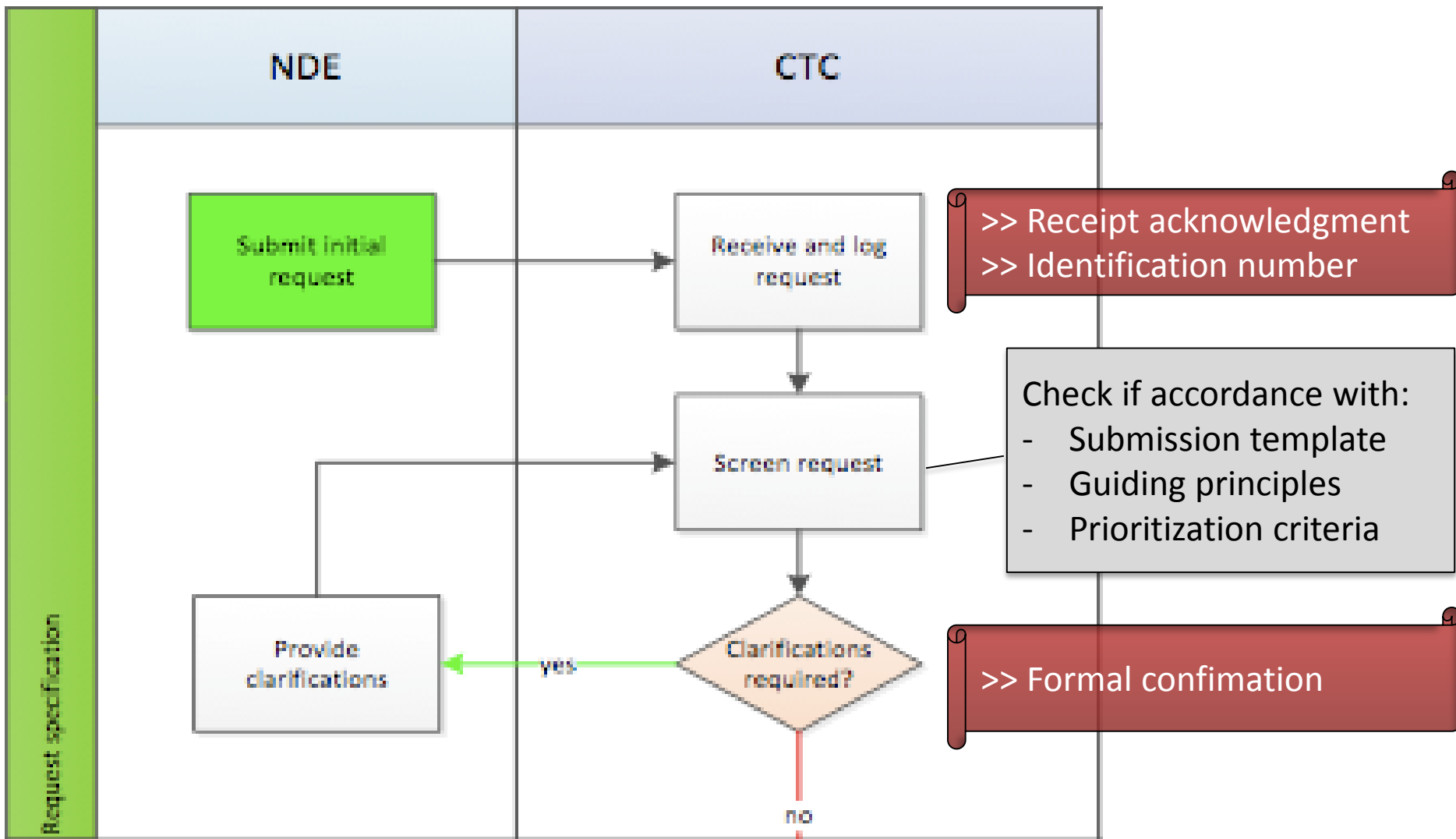
With the aim of achieving a balanced and equitable portfolio, the CTC Director shall ensure that priority is given to requests that bring about:

- 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



Delivery of the Response Plan

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

- Request summary
- Objective and expected impacts
- CTCN assistance (activities and products)
- Planning and milestones of key deliverables
- Main partners and synergies
- Estimated budget
- Monitoring of response

	Year 1				Year 2			
Activity	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Activity 1								
Sub-activity 1								
Sub-activity 2								
Activity 2								
Sub-activity 1								
Sub-activity 2								
Sub-activity 3								
Etc.								

Response plan approved by NDE

Discussion



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Group Exercise 2



Exercise Guidelines

Groups: 4/5 persons per group

Duration: one hour

Document: sticky notes from session 5

Using a sample request from session 5, participants “play” the role of an NDE answering questions from a “request proponent” about the request he wants to submit to the CTCN.





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Presentation 3. Response Implementation and Evaluation



Outline of the next 3 sessions

1. Generating and Submitting Requests

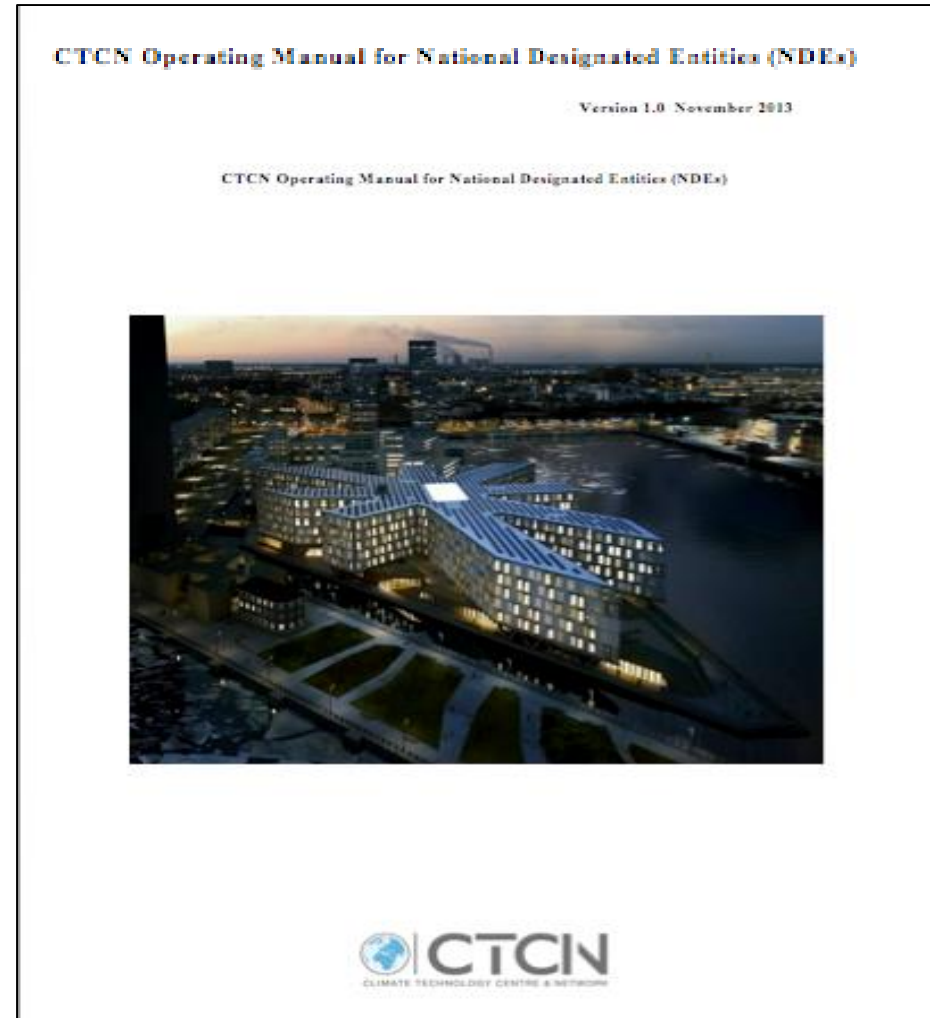
Presentation, discussion and group exercise

2. Request Processing and Selection

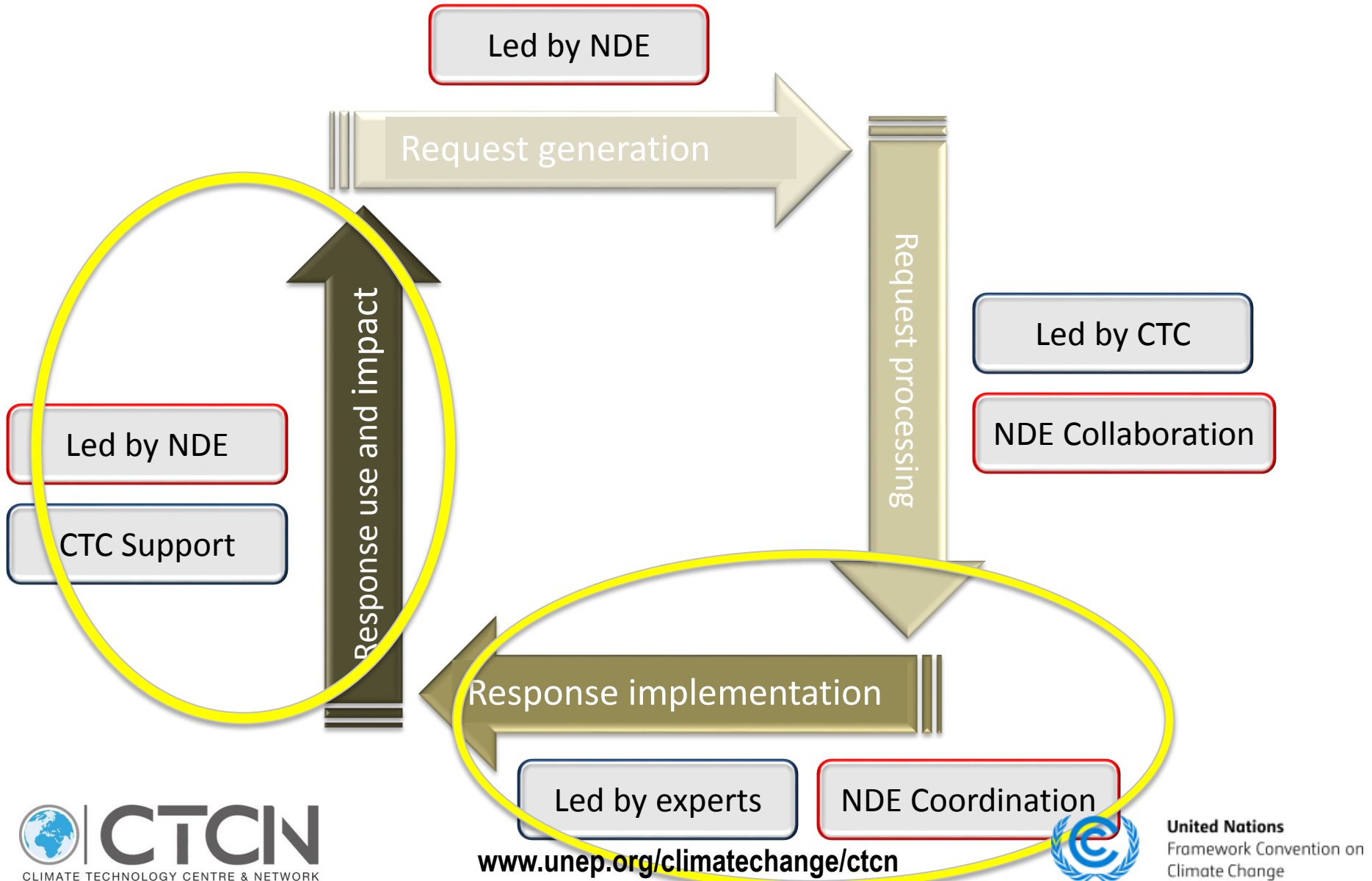
Presentation, discussion, group exercise

3. Response Implementation and Evaluation

Presentation and discussion



Response Implementation, Evaluation, Reporting



Presentation Outline

- Importance of M&E and reporting on impacts
- Response implementation and monitoring
- Response delivery and evaluation
 - Response Feedback Form
- Response impact and assessment
 - Impact Assessment Form

Monitoring and evaluation is critical

- To ensure high quality and result-based services from CTCN to countries
- To demonstrate that technical assistance has effectively led to larger scale actions and reached its expected impacts
- To demonstrate CTCN value added
- To ensure internal learning and improvement
- To respond to COP reporting requirements for accountability and transparency
- To support countries in demonstrating concrete efforts and achievements on climate technologies as part of their reporting requirements to the UNFCCC

And also...

- Facilitate independent reviews to evaluate CTCN success, by making data available and more accessible to the reviewers
- Creating trust and confidence among stakeholders that CTCN can manage large-scale services and an important amount of requests
- Building trust among Parties and donor community (and advocating for additional funding)

Decision by the Advisory Board

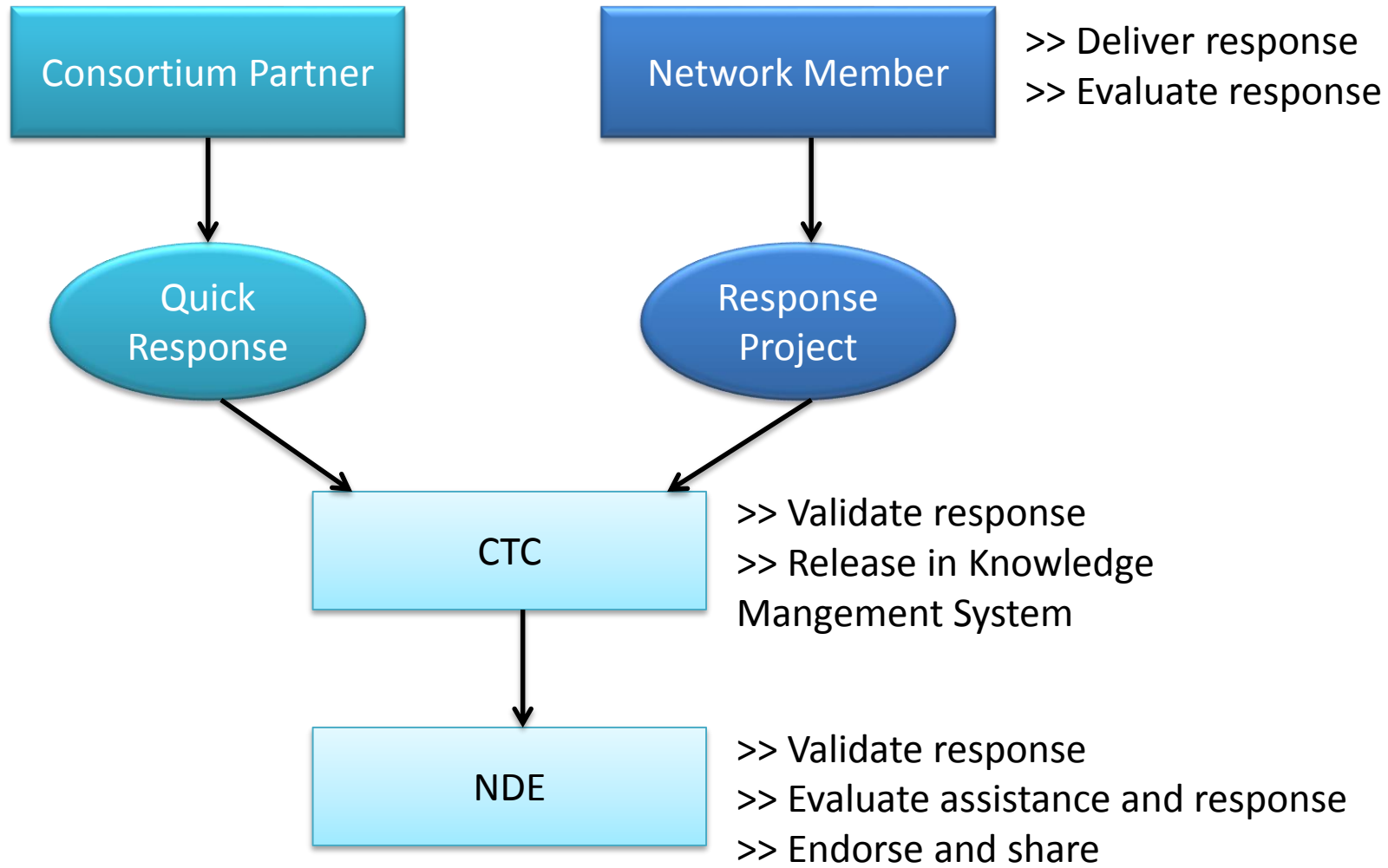
NDEs are *de facto* members of the CTN. As network members, NDEs have “*to ensure a high quality of technical assistance while maintaining an efficient operation of the CTCN*”

Response Implementation and Monitoring

Guided by the Response Plan. Possible actions:

- 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 Feedback Form

Response Feedback Form - Format for Feedback on CTCN Support

COUNTRY:

PROJECT NUMBER/REFERENCE:

TITLE:

{Title of response, as per the Response Plan}

Response Feedback Form

ACHIEVEMENTS

{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}

Response Feedback Form

RESPONSE DELIVERY

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

*{Did the assistance **reached the expected objectives?** Select the most appropriate answer: }*

- Strongly agree*
- Moderately agree*
- Slightly agree*
- Neither agree nor disagree*
- Slightly disagree*
- Moderately disagree*
- Strongly disagree*

Response Feedback Form

REQUEST REVISION

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

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

LESSONS LEARNED

{Describe successes and difficulties encountered throughout implementation

Propose improvements and suggestions to avoid such difficulties in the future}

CTCN ASSISTANCE

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

Response Feedback Form

NEXT STEPS

*{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 Feedback Form

OTHER COMMENTS AND REMARKS

DATE AND SIGNATURE

NDE name:

Signature:

Institution:

Date:

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

Response Impact and Assessment

NDEs will report to the CTCN on national climate technology success stories, CTCN related activities and how these foster climate technology transfer in their respective countries.

Such reporting will include information on follow-up actions undertaken after CTCN support, and subsequent impacts in the country. Through this mechanism, the CTCN will be able to collect information on its impacts in the countries over the years, and to report it to the Conference of Parties.

After the completion of the assistance, and depending on the project size and scope, the CTC in collaboration with the NDE may decide to develop an Impact Monitoring Plan to follow-up and report on the impacts and benefits of CTCN assistance.

Manual, section 6.3.3

Discussion

**Thank you for
your attention !**