Technical Assistance Process and Procedures

1. Background

The 17th Conference of the Parties to the UNFCCC indicated that the CTCN will "Manage the process of receiving and responding to requests from developing country Parties" (CP.17/2, annex VII). This decision also indicates the CTCN Advisory Board will provide guidance, and approves the prioritisation criteria for responding to requests from developing countries Parties.

The 19th Conference of the Parties to the UNFCCC provided further guidance on how the CTCN handles requests, including that it will "Assess with support from the technical resource pool the received requests and prioritize and refine those requests in conjunction with the NDE with the aim of determining their technical feasibility" (CP.19/25, annex 1). This decision also indicates that the CTCN "Responds to requests, through either the Consortium or the Network, based on considerations of appropriate capacity, expertise and cost-effectiveness.", and "The members of the Network of the CTCN will undertake the substantive work as directed by the CTC to respond to requests made to the CTCN by NDEs' (CP.19/25, annex 1).

The 4th meeting of the CTCN Advisory Board in September 2014 encouraged the CTCN to further clarify its Technical Assistance Process, including criteria for selecting implementing partners. This note presents the experience and approaches used so far by the CTC team for managing the process for managing requests and implementing responses, including acknowledging requests, as well as designing and implementing and monitoring responses.

At the 20th Conference of the Parties, Parties invited the Advisory Board to elaborate the prioritisation criteria for country requests as needed. Matters of eligibility and prioritisation criteria are detailed in a separate background document for CTCN's 5th Advisory Board meeting, entitled "Prioritization Criteria for Technical Assistance – Experience and Lessons Learnt".

2. Technical Assistance Process

The process for managing technical assistance Requests and Responses can be divided into 4 stages, with a specific t for each, as summarised in the figure below.
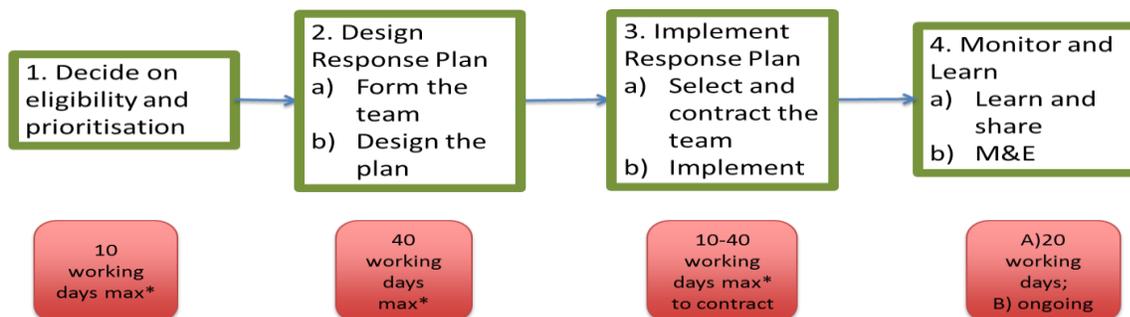
*Assuming CTCN full staffing and resourcing as per workplan approved by AB, not including delays due to national circumstances.

Specific steps and timelines for each are further articulated for each stage, as follows:

Stage	Step			Time (max. # of working days from submission)	Design Consideration
1. Decide on eligibility and prioritisation	**i.** CTM acknowledges request			2	Please see AB5 information note on Criteria
	ii. CTM assesses Eligibility of requests, as well as prioritisation and balancing{by day 4} (based on template in Annex 1)			6	
	iii. Director reviews recommendation			8	
	iv. Director communicates decision to NDE			10	
2. Design Response Plan	A) Form the Design Team	i. CTM sends call for interest to all CPs		11	Criteria for selecting Response Planning Expert Team: • Experience and network in national context • Relevant language capacity • Response planning track record • Representative involvement of CPs
		ii. CTM reviews expressions of interest and recommends to Director		18	
		iii. Director communicates composition of team to NDE and CPs		20	
	B) Design the Plan	i. Response Planning Expert Team designs Response Plan with NDE and proponent (based on Response Planning template in Annex 3)		56	Key design considerations: • Removal of technology barriers indicated in Request • Complementarity to other projects • Gender considerations • Impact on SDGs • Financial viability/'bankability' • Vision for sustainability of action
		ii. Director and NDE sign Response Plan		60	
		iii. CTC shares Response plan on website		60	
3. Implement Response Plan	A) Form the Implementation Team	Implementation by Consortium: i. CTM assesses Consortium Partners expertise and recommends decision ii. Director approves recommendation iii. CTC contract CP or trigger contribution in existing agreement with CP for implementation		10	The preferred approach for implementation of a 'quick response' is by the Consortium, and for larger responses is by the Network. Exceptions can be made at the discretion of the CTCN Director, based on considerations of relevant capacity, expertise and cost effectiveness, including expertise and current time availability existing in Consortium or Network, and in kind-contribution of relevant expertise.
		Implementation by Network Member (competitive tender process run by UNIDO): i. CTC prepares ToR based on Response Plan ii. Network Members invited to apply		40	

		iii. Evaluation of bids against criteria and selection as per standard UNIDO procurement procedures iv. Contracting as per UNIDO procedures		
	B) Implement the Response Plan	Implementation steps are based on each individual Response Plan (REP)	1-12 months (indicative)	• Implementer(s) delivers assistance as per REP • Avoidance of overlap and maximise synergies • Oversight by CTM and coordination with NDE • Focus on creating 'bankable' projects and linking to investors • Delivery based on M&E targeted articulated in workplan • Contributions towards achieving SDGs
4. **Learn and Monitor**	A) Learn and Share	i. Implementer(s) deliver all products and reporting requirements ii. CP who lead Response Plan Design produce a case study report conveying innovations , qualitative results and learning gained through this TA and potential relevance to others iii. Publish all products and learning on website	Within 30 working days of Implementation Completion	• Report profiled on KMS • Webinars • CTCN Regional Forums • Technology innovations in KMS technologies database • Consortium and Network Members' knowledge sharing activities
		iv. Content for CTCN Regional Forums and webinars, as well as content for CP trainings and publications (ongoing)	Ongoing	
	B) Monitor Impact	i. Develop/review impact monitoring plan, with specific indicators, targets and timeline for reporting ii. Monitor project impacts based on impact monitoring plan (by Response Planning Lead) iii. Summarise impact and share on KMS	Ongoing	*M&E considerations* • Monitoring of impacts based on specific indicators and targets • Quantitative and qualitative data • Collection by NDE and applicant, with support from implementer • Data aggregated to report on overall CTCN impacts

Country(ies):	
Request title:	
CTCN Request reference number:	
Climate Technology Manager:	
Recommendation for the CTCN Director on the request:	☐ Request not eligible ☐ Request eligible and prioritized ☐ Request eligible but not prioritized

Eligibility Criteria* *(Instruction: Insert Yes or No - all criteria must be met for the Request to be Eligible*

#	Criteria	Yes/No	Comments
1	The request has a clear and positive benefit to the requesting country in mitigating, or adapting to the negative effect of, climate change.		
2	The request is in line with national strategies and plans[1]		
	The request enhances endogenous capacities.[2]		
3	Processes in place in the requesting country to monitor and evaluate any support provided.[3]		

Prioritization Criteria* *(Instruction: Indicate 1 to 5, 5 being the highest)*

#	Criteria	Score 1-5	Comments
1	Does the request promote endogenous and appropriate technologies and processes?[4]		
2	Does the request demonstrate "project readiness" and have the potential for replication or scaling up (nationally, regionally, and/or internationally)?		

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[1] Including inter alia National Development Plans, sectoral plans, Technology Needs Assessments, Nationally Appropriate Mitigation Actions, National Adaptation Programmes of Action, National Adaptation Plans, National Biodiversity Strategies and Actions, etc.

[2] Enhancement of endogenous capacities refers to international technology transfer through technical assistance.

[3] The NDE ensures to work with the CTCN to monitor the support provided by indicating this in the Request.

[4] Including climate technology innovations.

#	Criteria		
3	Does the request promote collaboration amongst and between stakeholders, including between countries (South – South, bilateral, or multilateral cooperation)?		
4	Does the request enable leveraging of public and/or private financing?[5]		
5	Does the request promote and demonstrate social and economic benefits?		
6	Does the request promote and demonstrate gender equality, and empowerment of vulnerable groups, including women and youth?		
	Insert total number:		

Balancing Criteria (being refined for consideration at AB5) *(Instruction: Indicate Yes or No)*

#	Criteria	Yes/No	Comments
1	Does the request contribute to Inter and intra-regional equity, with a preference for requests submitted by LDCs and other highly vulnerable and low capacity countries		
2	Does the request contribute to a balance of technological-related activities covering both adaptation and mitigation		
3	Does the request contribute to a balance of technological related activities spanning the technology cycle.		
	Insert total number of Yes:		

* Please note: These criteria have been previously approved by the CTCN Advisory Board, with clarifications indicated in footnotes for application of the criteria.

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[5] Including if the request demonstrated the potential for financing from private or public sector ('bankability') opportunities.

CP who expressed interest in the RET	Relevant technical expertise (0 to 10)	Experience and network in national context (0-5)	Relevant language capacity (0-5)	Response Planning track record (0-5)	Representative use of CPs in Response Planning (0-5)	Feedback/ preference from the NDE (0-5)	TOTAL

Annex 3 – Response Plan Design Template

Country:		Title:	
Request Identification Number:			

Project summary	
Provide a brief description (maximum 200 words) of the objectives of CTCN assistance, such as services that will result from CTCN assistance (referred to as outputs) and their likely short-term effects (referred to as outcomes), an indication of the assistance duration, as well as the main in-country partners who will be directly involved in project implementation. *Please note that this summary will be used for communication and knowledge sharing purposes. It should remain brief as the details of the assistance are explained in the subsequent questions.*	

1. Overview of the assistance

1.1 Objectives (outcomes)

Briefly indicate the expected outcomes (likely short term effects) of the CTCN assistance in the country and/or sector. These outcomes should be directly attributed to the activities of CTCN technical assistance.

1.2 Results (outputs)

Briefly indicate the expected outputs (services or products) of CTCN technical assistance in the country and/or sector. These outputs should be directly attributed to the activities of CTCN technical assistance.

1.3 Technology aspects

Briefly describe the technology(ies) supported by the technical assistance, and explain how the CTCN technical assistance will help identify, develop or deploy the specific technology(ies).

2. Description of the Assistance

2.1 Activities

Describe the planned activities and sub-activities to be conducted under the assistance, as well as their corresponding deliverables. For each activity, provide of brief descriptions of actions to be conducted as well as their immediate results/usefulness to achieve the expected outputs.
Use the following format:

Activity 1 – XXXX

Activity 1.1 – *Short description*
Activity 1.2 – *Short description*

Deliverables	Delivery date
xxx	
xxx	
Etc.	

Etc.

2.2 Expertise required

List the expertise required to successfully implement the assistance and reach the expected objectives.

2.3 Main partners

List and describe the role of in-country partners who will be involved in the implementation of the assistance in the country.

2.4 Synergies

Identify past and ongoing public and private sector initiatives at the local, national or regional level that the response will specifically build on and link to.

2.5 Timeline

Provide a timeline for the CTCN technical assistance and list specific milestones for each activity. The timeline show the roll out of the activities and sub-activities to be conducted, throughout the whole duration of the assistance

2.6 Indicative budget

Provide an indication on the maximum amount of resources required to implement the assistance.

2.7 Gender considerations

Explain how gender considerations are included within the proposed activities, and also indicate any gender co-benefits that will be gained as a result of implementing this Response Plan.

2.8 Risk identification and risk mitigation

Identify risks that could jeopardize the realization of project outcomes and expected impacts, their probability and how the assistance will mitigate these perceived risks.

Risks	Consequence	Probability	Mitigation

2.9 Monitoring and Reporting

Provide information on how the monitoring and reporting for the project will be constituted.

3. Long-term impacts of the assistance

3.1 Expected climate benefits

Describe the long-term results (impacts) produced by CTCN assistance, including its contribution in mitigating and adapting to climate change. If possible, insert specific targets.

3.2 Co-benefits

Describe the anticipated economic, social, and environmental co-benefits of the assistance, including contribution to achieving the Sustainable Development Goals.

3.3. Post-assistance plans and actions

If possible, provide indications on specific actions and plans that the country can implement in order to maximize the use of the outputs produced by this technical assistance in achieving the expected climate benefits described above.

4. Formal agreement and signatures

Signatures of the requesting country

For the NDE	**For the Request Applicant**
Name:	Name:
Title:	Title:
Date:	Date:
Signature:	Signature:

Signatures of the CTCN

For the CTCN Director	For the Climate Technology Manager
Name:	Name:
Title:	Title:
Date:	Date:
Signature:	Signature:

Challenges	Possible good practice
1. Broad request	Aim to have a sharply focussed Request in the first place through better communication with NDE and country applicants, and on the CTCN TA in general.
	Draft clarifying focus questions among RET and send to NDE prior to kick off call.
	Involve Response Planning Expert Team staff from national office to participate in meetings face-to-face.
	Involve UNEP and UNIDO Regional Office focal points.
2. Coordination among RET	Small is beautiful, and if the RET includes more than one Partner, the division of work and responsibilities needs to be agreed upon at the onset.
	Form clear team including, clear CP lead, clear focal points for each RET member, NDE and proponent.
	Draft REP in main language of the country and translate at the end.
	If possible, do all calls with NDE in main language of the country.
	Always copy NDE on all correspondence with any country actors.
3. Slow progress	Hold a RET formation call, followed by a REP kick off call with the NDE and their designates.
	Set explicit timeline and milestones to complete REP in the first kick off call.
	Make sure relevant experts within CPs are available to work on the Response Planning.
	Contract/select only one implementer (implies only one agreement concerned and one partner to transfer funds to), even if sub-contracting of another partner is possible.
4. Differences of opinion on budget	CTM decides based on recommendations of RET members.
	Resources/indicative budget is thought at the stage of designing the Response Plans, to avoid agreeing on activities that would be way above CTCN budget threshold.
5. Clarity of actionable TA activities	Specify clear deliverables and deadlines for each.
6. Designing the Response Plan for success and impacts of TA	Make sure TA outputs/results are expected to be used and useful for the country beneficiaries and partners.
	Integrate M&E considerations (specific indicators, targets and timeline and responsibilities) in response plan.
7. Overlap of requested TA with other initiatives.	Ask NDE for relevant information (e.g. ongoing projects with potential overlap in the country)
	Coordinate with relevant organizations and seek complementarity/synergy and avoid overlap, and aim for explicit agreements
	Channelling of requests to others that may already have a programme/mechanism in place to respond to the request