

**CTCN Technical
Assistance:
How it works**

CTCN Regional Forum

Arusha, 24-26 June 2015



Objectives of this session

1. Get to know:

- The practical process of requesting CTCN assistance.
- How CTCN defines requests are eligible and prioritised.

2. Be able to better:

- Prepare requests eligible for CTCN technical assistance.
- Ensure design of attractive Requests.
- Answer questions from within the country on getting CTCN assistance.

Outline

1. Generating and Submitting Requests

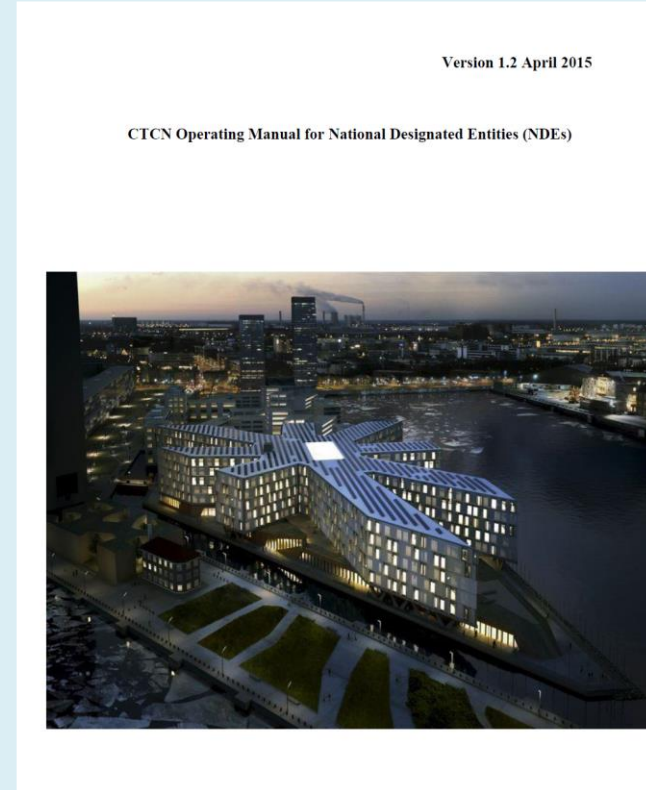
Presentation, discussion, group exercise

2. Request Processing, Prioritisation and Response Planning

Presentation, discussion

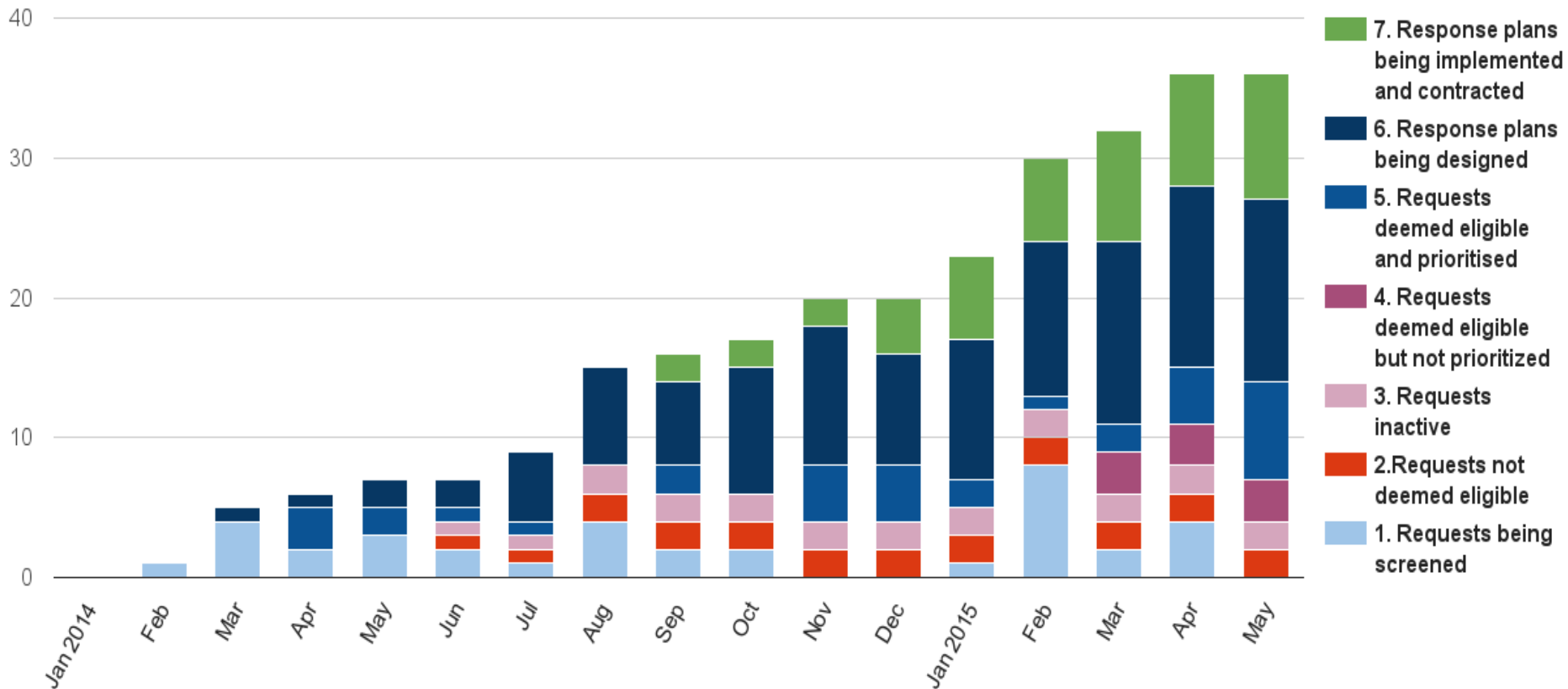
3. Response Implementation & Evaluation

Presentation, discussion



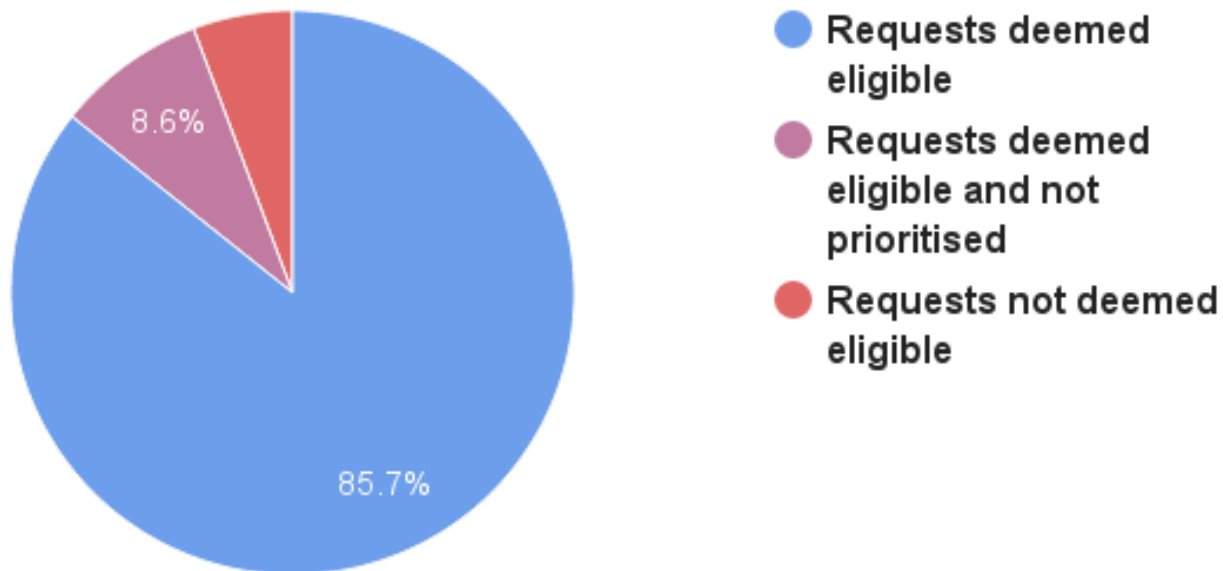
Technical Assistance – The Status

Progression of CTCN Requests for Technical Assistance



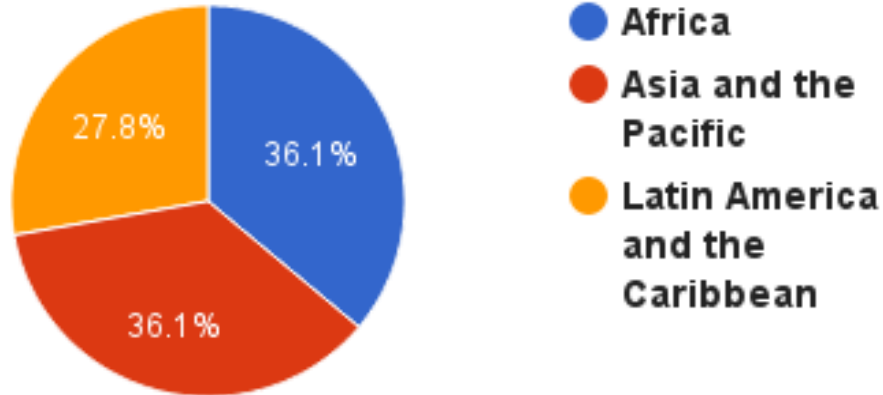
Technical Assistance – The Status

Overview of Request Appraisal

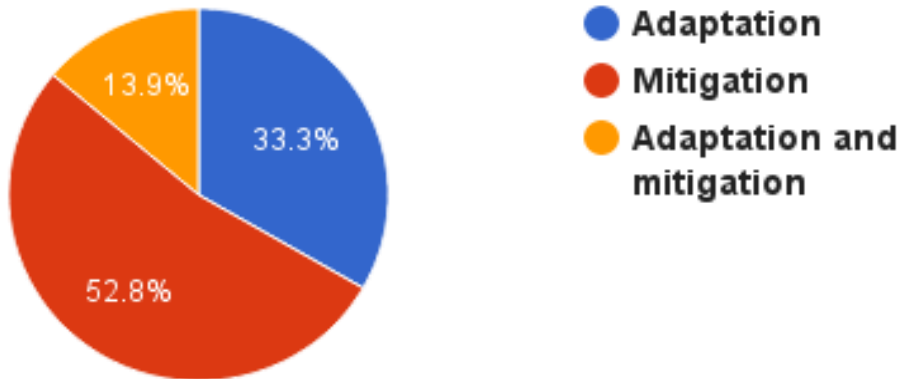


Technical Assistance – The Status

Distribution by Region

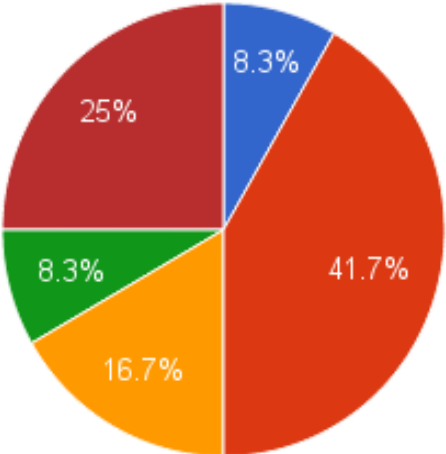


Distribution by UNFCCC Objective



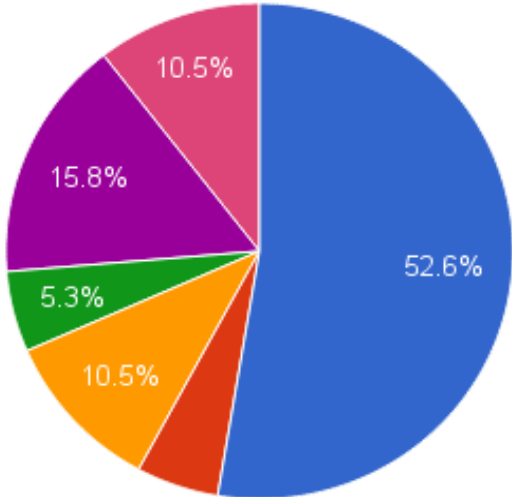
Technical Assistance Status

Adaptation Requests by Sector



- Early Warning and Environmental Assessment
- Agriculture and forestry
- Water
- Coastal zones
- Cross-sectoral

Mitigation Requests by Sector



- Energy
- Transport
- Industry
- Forestry
- Waste management
- Cross-sectoral



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What is “climate technology” ?

IPCC 5th Assessment Report defines Climate Technology as:

- “Hardware, software and orgware”
- “Traditional, modern, high tech”
- “Any equipment, technique, knowledge and skill...” (needed for:)

1. Reducing greenhouse gas emissions:

- | | |
|------------------------------|-----------------------|
| i. Energy supply | ii. Energy use |
| iii. Industry | iv. Transport |
| v. Agriculture | vi. Forestry |
| vii. Waste Management | |

2. Adapting to climate change:

- | | |
|--|---|
| i. Water | ii. Agriculture and Forestry |
| iii. Marine and Fisheries | iii. Coastal Zones |
| iv. Human Health | vi. Early warning and assessment |
| vii. Infrastructure, Transport & Urban Design | |

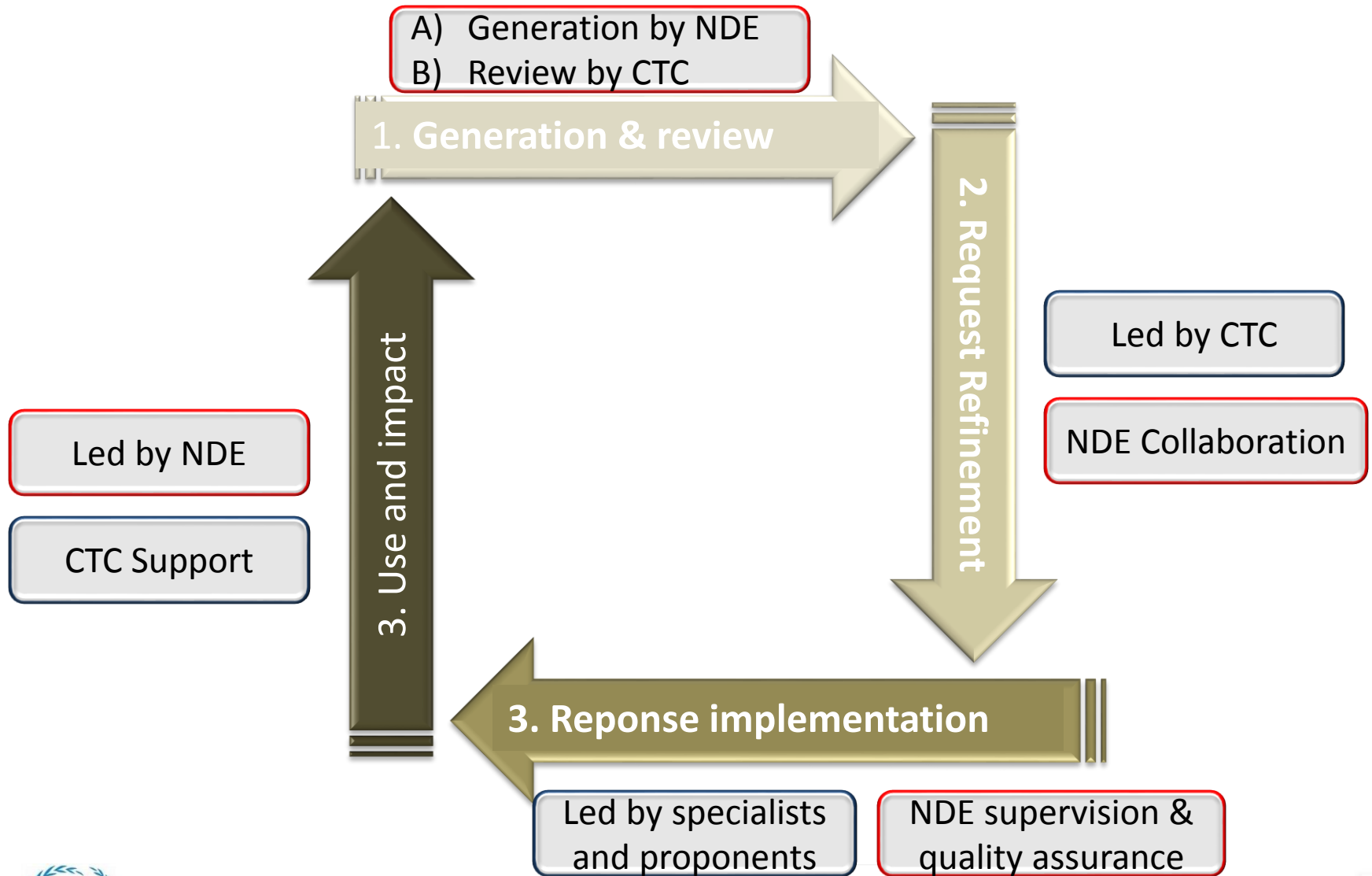
Cross-cutting Approaches:

- **Ecosystem-based**
- **Community-based**
- **Gender-oriented**

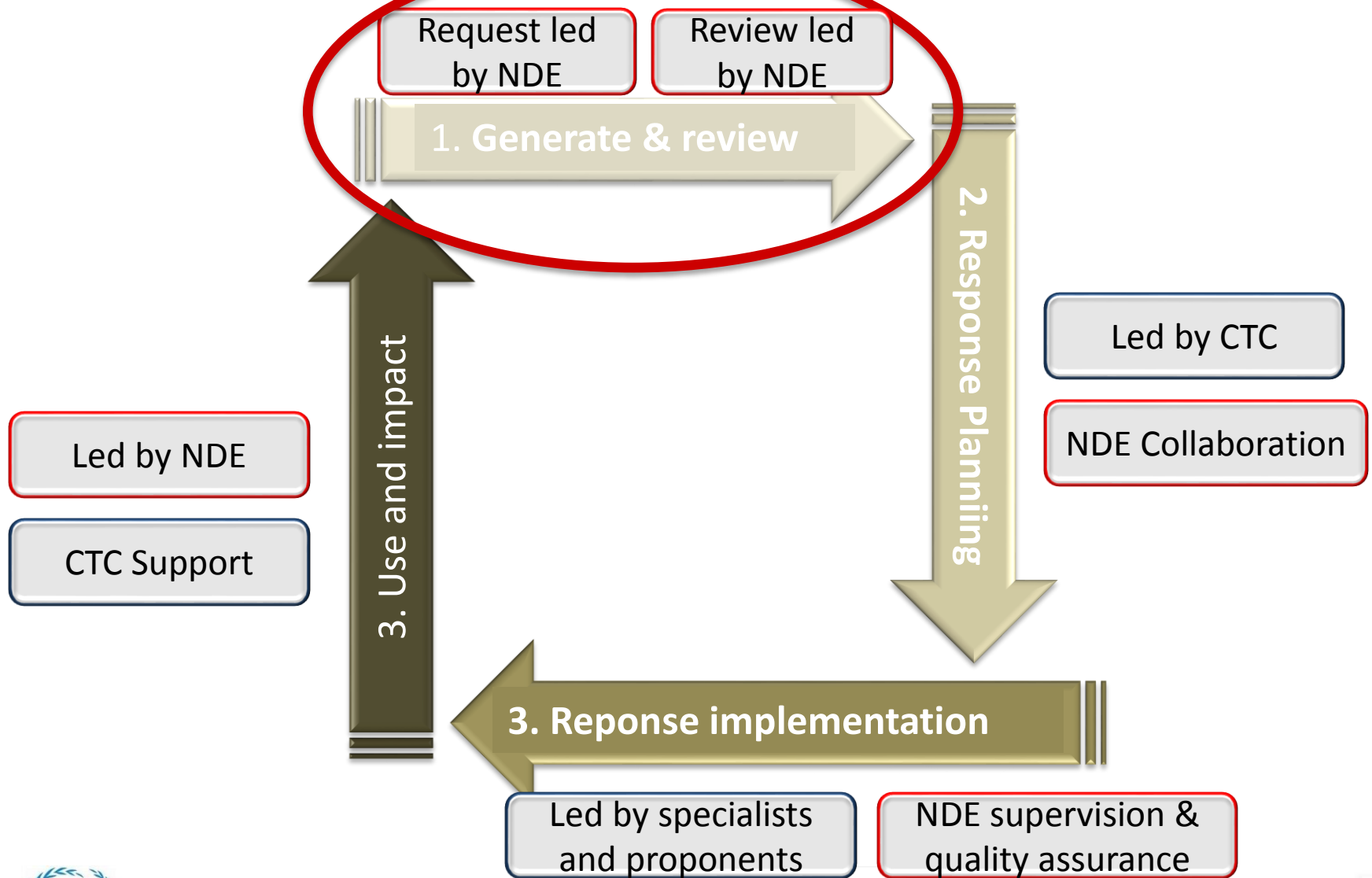
1. Generating and Submitting Requests



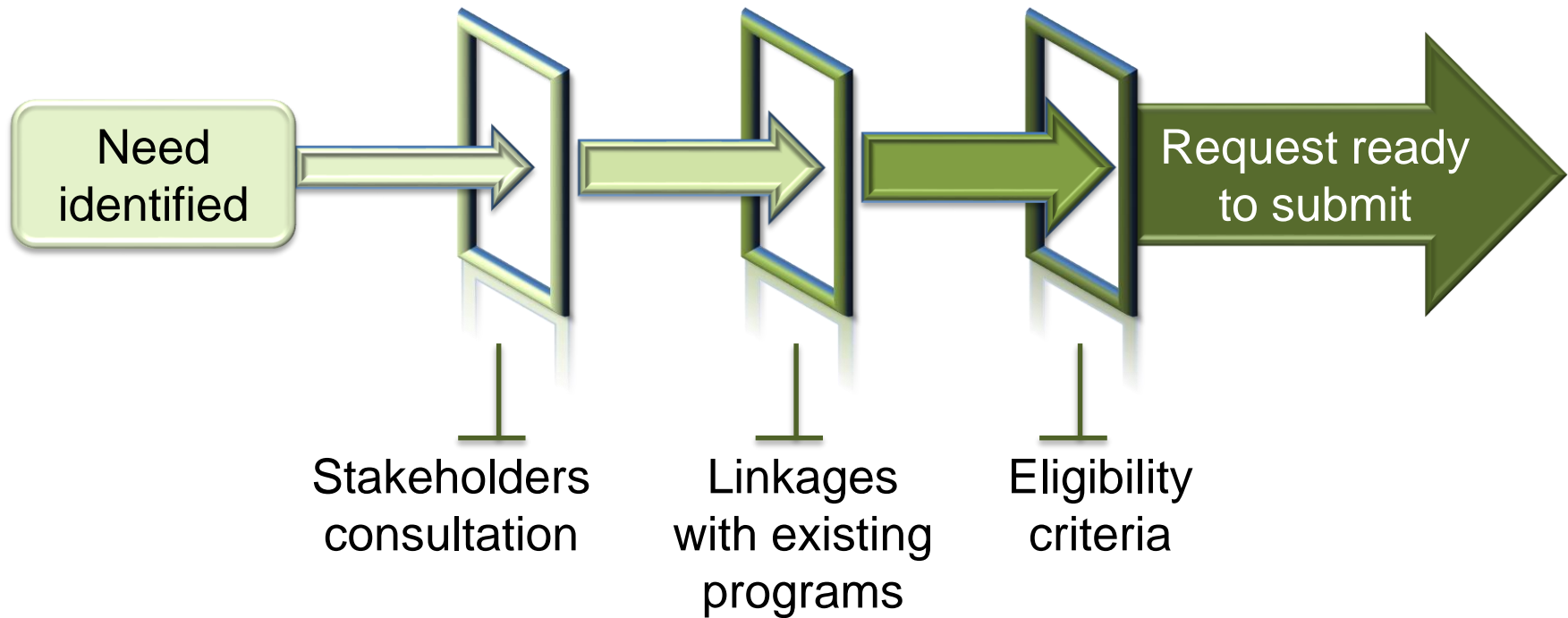
CTCN Technical Assistance Cycle



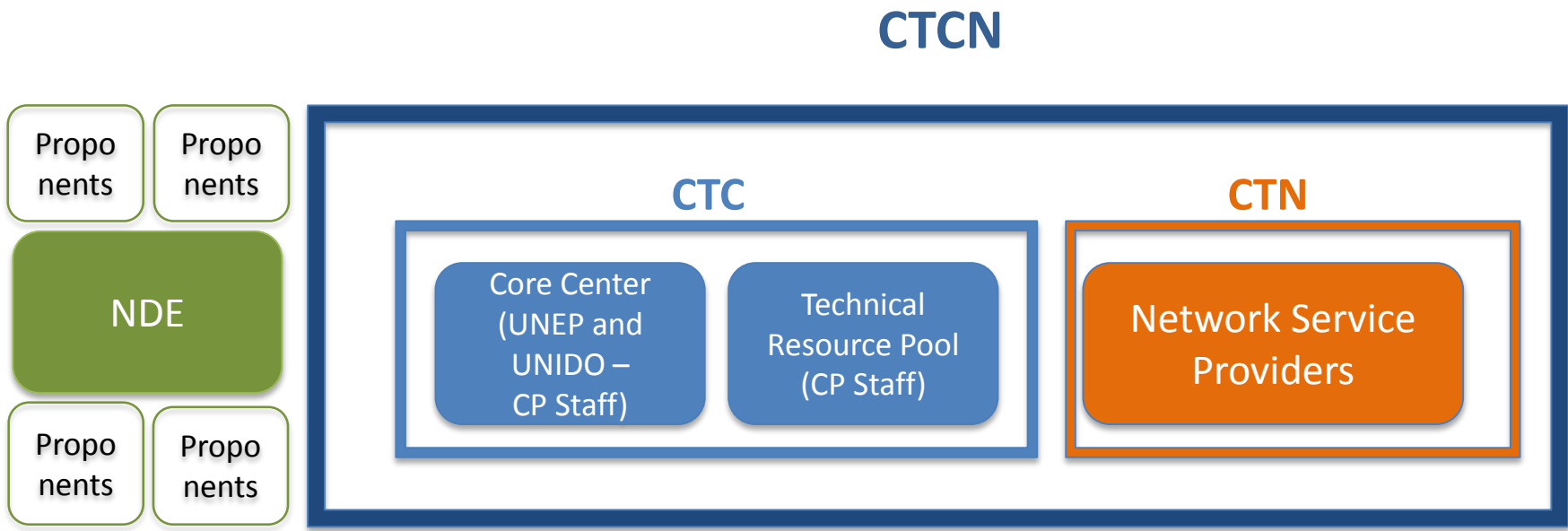
CTCN Technical Assistance Cycle



Generating a request



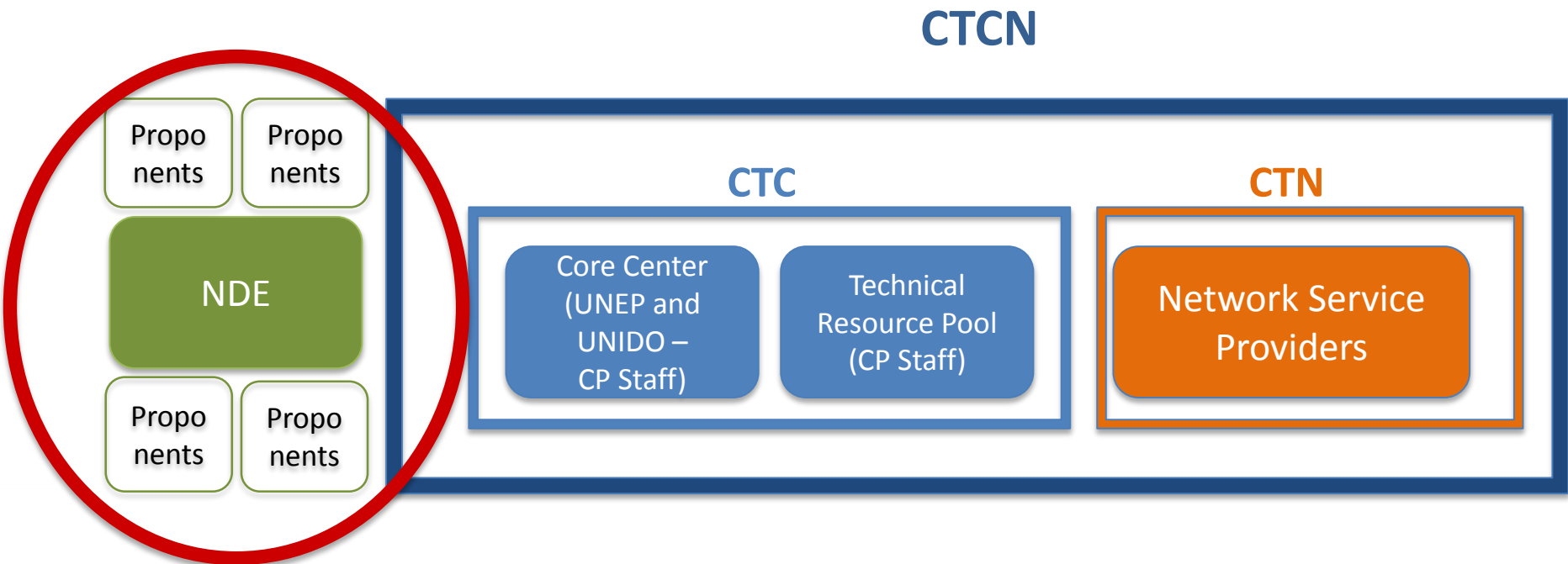
Technical Assistance: The main actors



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Technical Assistance: The main actors



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Eligibility Criteria



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

Eligibility Criteria 1

“The request has a clear and positive benefit to the requesting country in mitigating, or adapting to the negative effect of, climate change.”

Mitigation:

Reduce the causes of climate change to permanently eliminate its effects.



Adaptation:

Anticipate the effects of climate change to prevent its damages and take advantages of its opportunities.

Eligibility Criteria 2

“The request is in line with national strategies and plans.”

Relevant national strategies and plans:

- National Development Plans
- Sectoral plans
- Technology Needs Assessments
- National Adaptation Plans of Action (NAPAs)
- National Adaptation Plans (NAPs)
- Nationally Appropriate Mitigation Actions (NAMAs)
- Climate Relevant priorities in National Biodiversity Strategies and Action Plans (NBSAPs)
- Etc.

Eligibility Criteria 3

“The support will strengthen endogenous capacities.”

Characteristics:

- Ensure assistance is adapted to local circumstances
- Ensure interest, involvement and ownership of local stakeholders
- Strengthen in-country capacities
- Ensure efficient use of in-country personal time and financial resources dedicated to the assistance
- Ensure implementation sustainability

Eligibility Criteria 4

“Processes are in place in the requesting country to monitor and evaluate any support provided.”

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.

Prioritization Criteria

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



Prioritization Criteria (cont.)

1. Demonstrate “project readiness”
2. Demonstrate potential for replication or scaling up nationally, regionally, and internationally
3. Leverage public and/or private financing
4. Promote endogenous and most appropriate technologies and processes
5. Promote and demonstrate multiple benefits, as well as social, economic, and environmental sustainability
6. Promote gender equality, and empowerment of vulnerable groups, including women and youth.
7. Promote collaboration among stakeholders, including between countries, and having elements of South – South, bilateral, or multilateral cooperation
8. 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.



Linkages with Existing Initiatives

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

Synergies

National priorities

Funding

Lessons learned

Submitting a request

- Must be submitted by the NDE
- Use the CTCN request template
- Comply with the Eligibility criteria

CTCN Manual, Annex 4 – Request Submission Form



CTCN Technical Assistance
Request Submission Form

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

Requesting country:

Request 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 Applicant
Contact person:		
Position:		
Organization:		
Phone:		
Fax:		
Email:		
Postal address:		

Technology Needs Assessment (TNA):
{Select one of the three boxes below:}

The requesting country has conducted a TNA in (please insert date of TNA completion)

The requesting country is currently conducting a TNA

The requesting country has never conducted a TNA

{If the requesting country has completed a TNA, please indicate what climate technology priority this request directly relates to. Please indicate reference in TNA/TAP/Project Ideas.}

CTCN Request Incubator Programme:
{Please indicate if this request was developed with support from the Request Incubator Programme:}

Yes

No



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Request Submission Template

Requesting country:	
----------------------------	--

Request title:	
-----------------------	--

Contact information:

{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).}

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Contact person:		
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Request Submission Template (cont.)

Technology Needs Assessment (TNA):

{Select one of the three boxes below:}

- The requesting country has conducted a TNA in (please insert date of TNA completion)*
- The requesting country is currently conducting a TNA*
- The requesting country has never conducted a TNA*

{If the requesting country has completed a TNA, please indicate what climate technology priority the request directly relates to. Please indicate reference in TNA/TAP/Project Ideas.}

CTCN Request Incubator Programme:

{Please indicate if this request was developed with support from the Request Incubator Programme}

- Yes*
- No*

Geographical focus:

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

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



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Request Submission Template (cont.)

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}

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 (cont.)

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 (cont.)

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 (cont.)

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).}***



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Request Submission Template (cont.)

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 (cont.)

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.).}



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Request Submission Template (cont.)

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.}



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Request Submission Template (cont.)

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.



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Request Submission Template (cont.)

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



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Group Exercise

- **Groups:** 4/5 persons per group
- **Duration:** 20 minutes
- **Document:** Sample request summaries

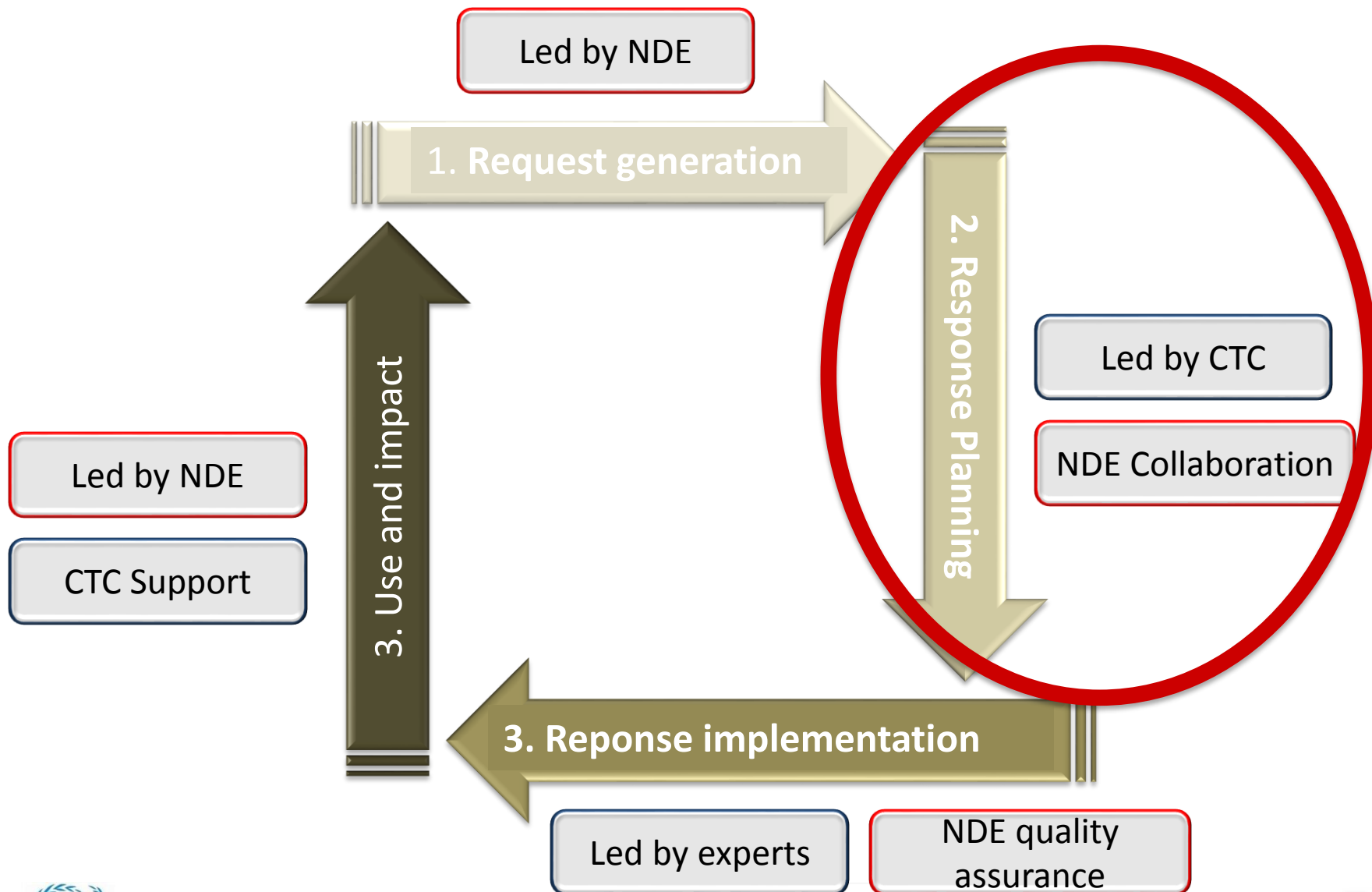
- **Action:** Using the request summaries, begin to draft a request. Due to time limitations, some answers may be incomplete.

- **Group discussion questions:**
 1. What section is most important?
 2. What is missing in your request and how to work with the country organization and various stakeholders to obtain it?
 3. What parts of the request template are the most challenging?

2. Request Refinement and Response Planning



CTCN Technical Assistance Cycle



Request Refinement & Response Plan Design

Objective:

- Convert brief request into an action plan
- Clarify the strategic barrier/challenge to be addressed
- Articulate “Terms of Reference”
- Estimated budget
- Ensure shared ownership

Response plan approved by NDE and CTCN Director

Sections of a 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

Response plan approved by NDE and CTCN Director



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Financial Range of Response Plans

Rapid Response

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

Response Project

- Between US\$50,000 and US\$250,000
- Tendering for open competition among Network Members

Challenges and Good Practices

Challenges	Good Response Planning Practices
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 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, 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.

Challenges	Good Response Planning Practices
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.
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.
Agreeing 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.
Clarity of activities	Specify clear deliverables and deadlines for each.
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, timeline, responsibilities) in REP

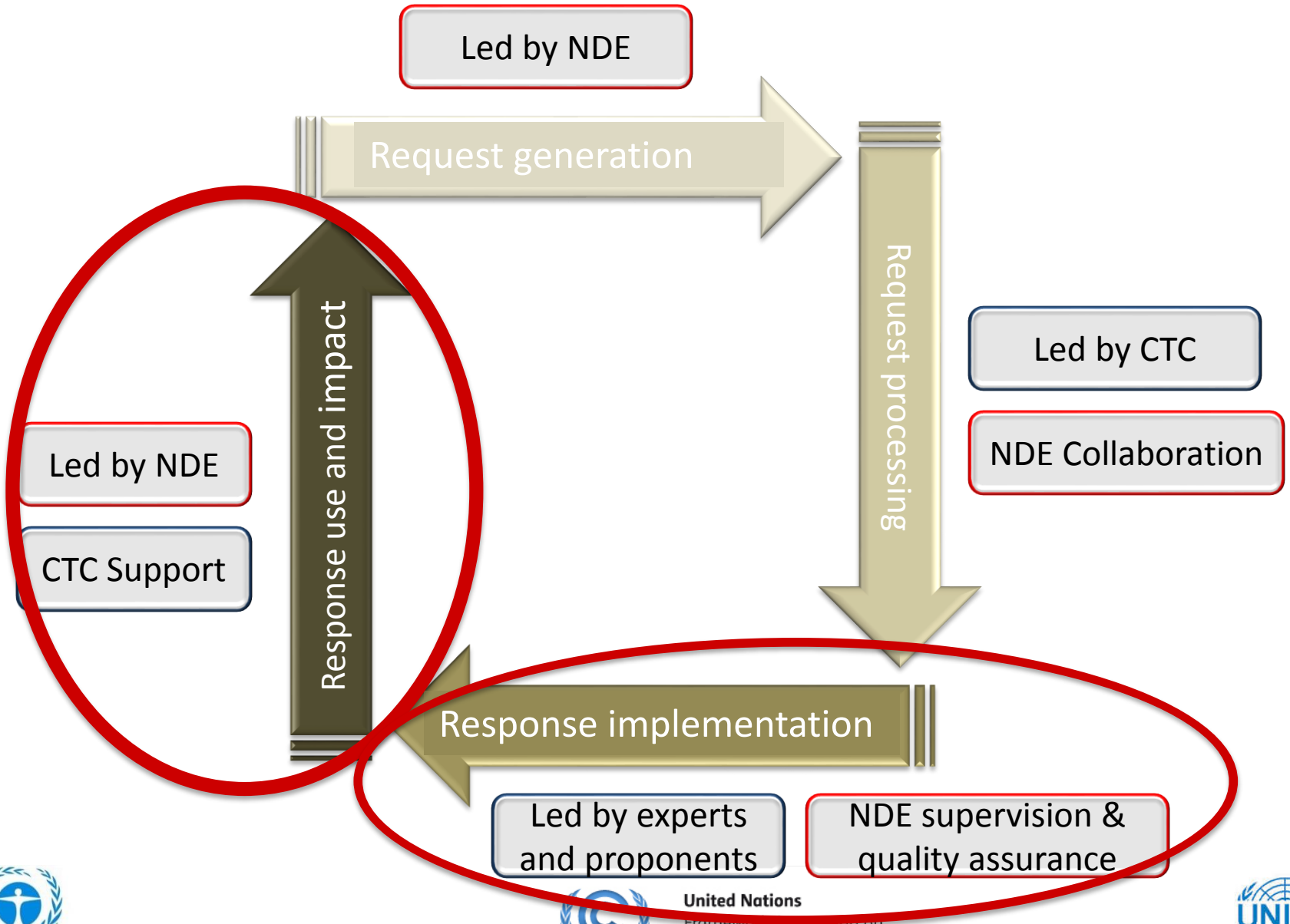
Discussion questions

- I. How can Response Planning go as quickly and smoothly as possible?**
- II. What are good or bad practices of Response Planning?**
- III. How can we ensure complementarity with other similar projects in design of Response Plans?**

3. Response Implementation, Evaluation and Reporting



CTCN Technical Assistance Cycle



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Overview

- I. Communicating results from CTCN Technical assistance**
- II. CTCN's approach to measures and evaluation of technical assistance Requests and Responses**
- III. Ensuring coordination during implementation**

Communicating results and learning from Response implementation

Globally:

1. Announcements of events and results on ctc-n.org
2. Webinars
3. COP and SCBSTA side events
4. UNEP and UNIDO side events
5. Regional CTCN financial forums in 2016?

Nationally:

1. National climate technology events
2. Institutional websites
3. Inter-Agency CC Committees
4. National communications to UNFCCC?
5. UNDAF?
6. Etc?



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M&E in CTCN Requests and Responses - Importance

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



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M&E in CTCN Requests and Responses

M&E at all stages of request process

- **At Request Submission:**
 - ✓ Eligibility criteria 3
- **Response Plan Design:**
 - ✓ Results framework with outcome indicators and impacts
 - ✓ At response closure: feedback form
- **Response Plan Implementation:**
 - ✓ Communicate learning and impact throughout
 - ✓ Coordination among NDE, proponents, implementers, CTC
- **Response Closure:**
 - ✓ Delivery and impact review
 - ✓ Communication learning and impact

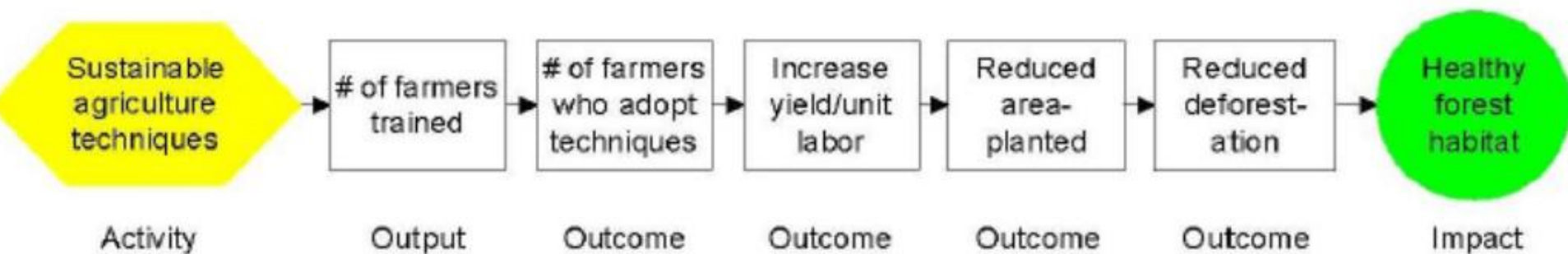
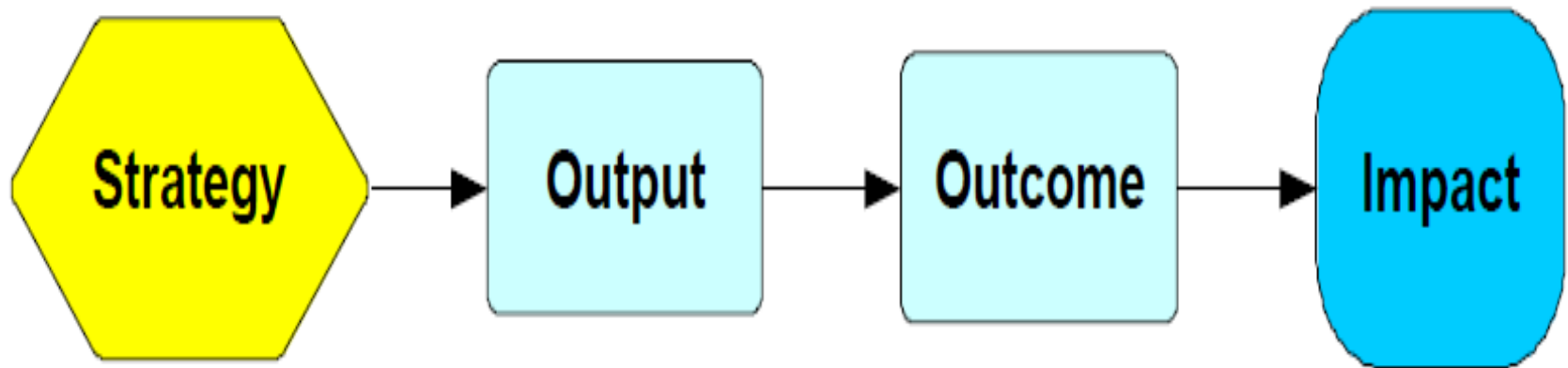
M&E in CTCN Requests and Responses

Decisions by the Advisory Board:

- NDEs are *de facto* members of the Climate Technology Network.
- NDEs ensure a high quality of technical assistance while maintaining an efficient operation of the CTCN”

CTCN Approach to M&E

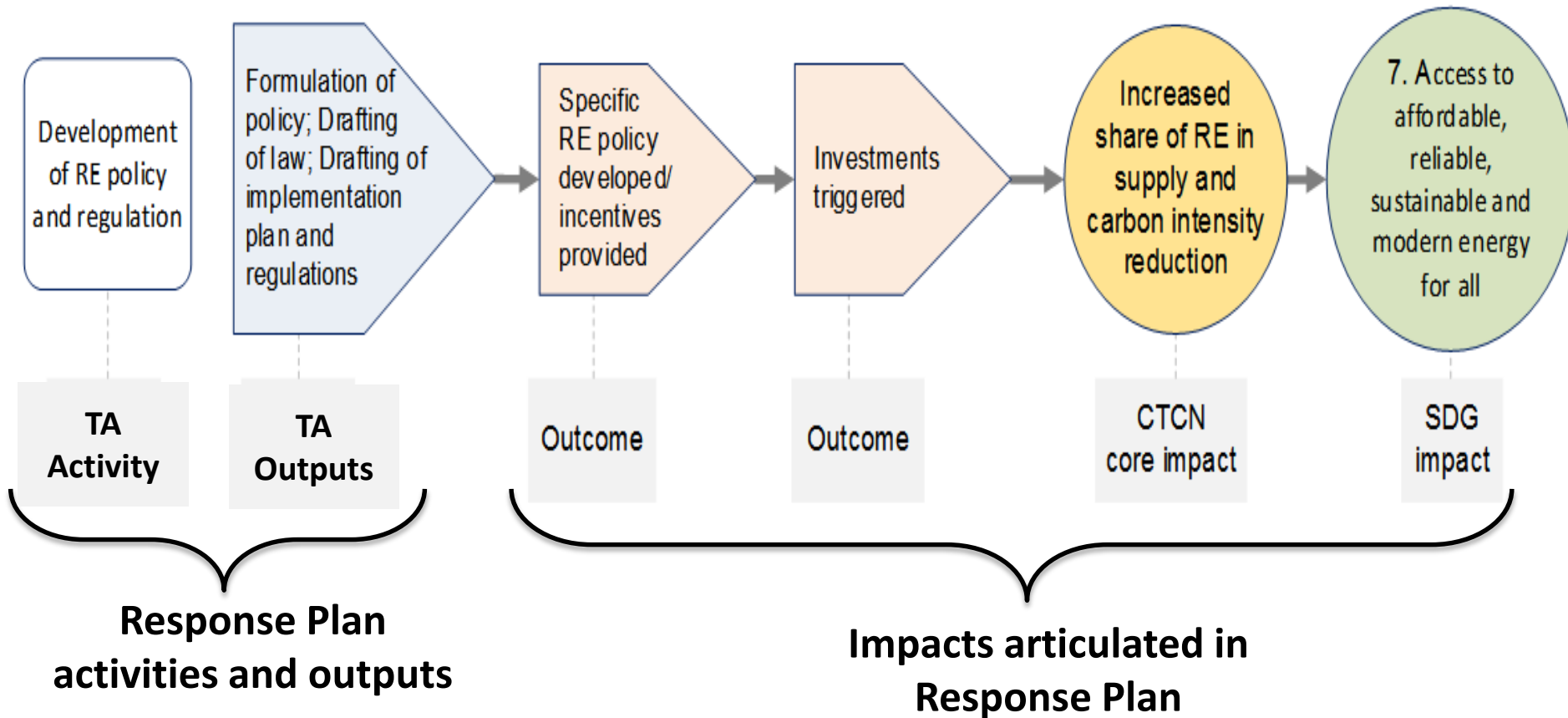
Monitoring of results + impacts



Examples

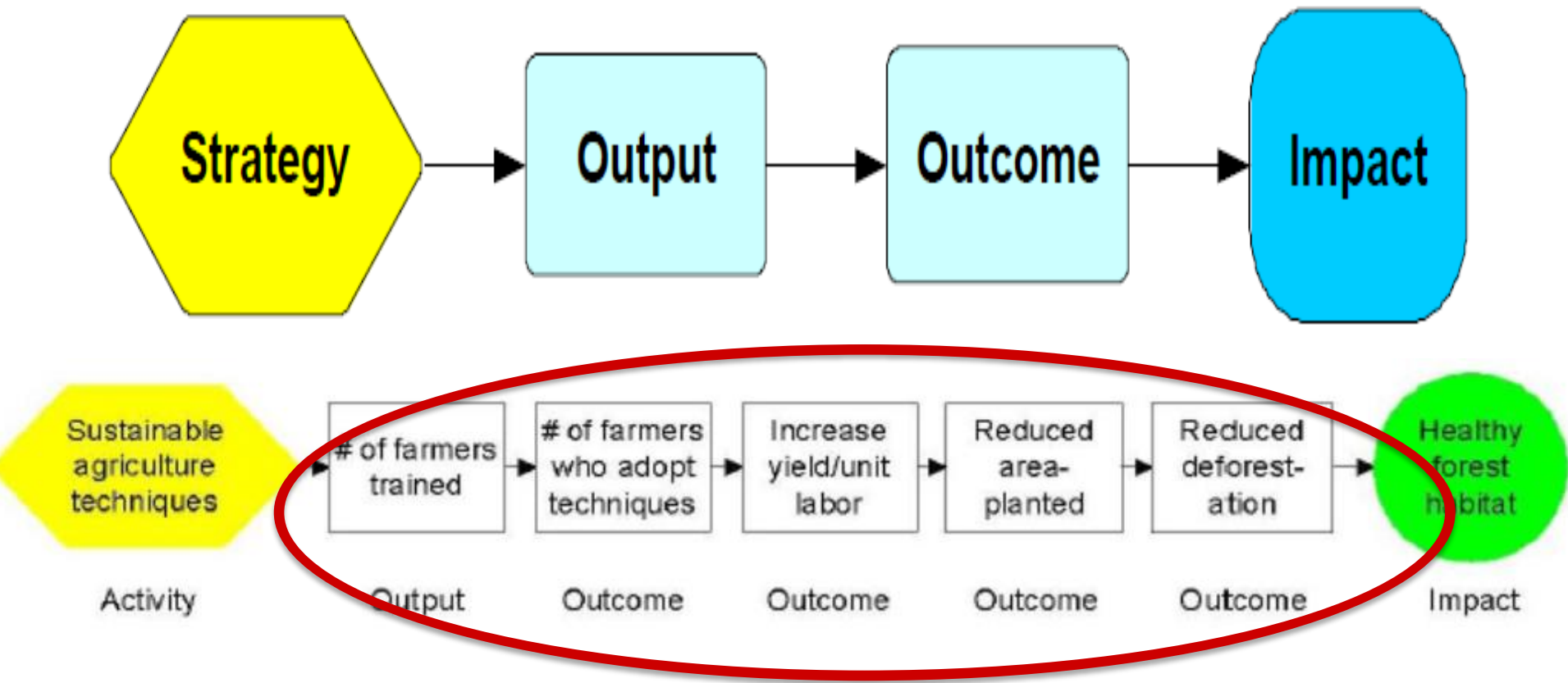
Example:

Formulating Geothermal Energy Policy, Legal and Regulatory Framework



CTCN Approach to M&E

Monitoring of results + impacts

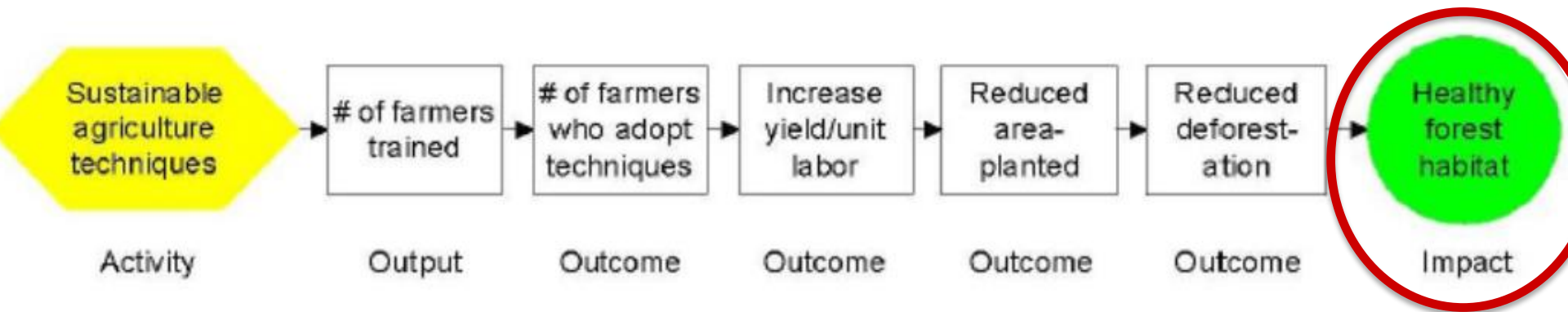
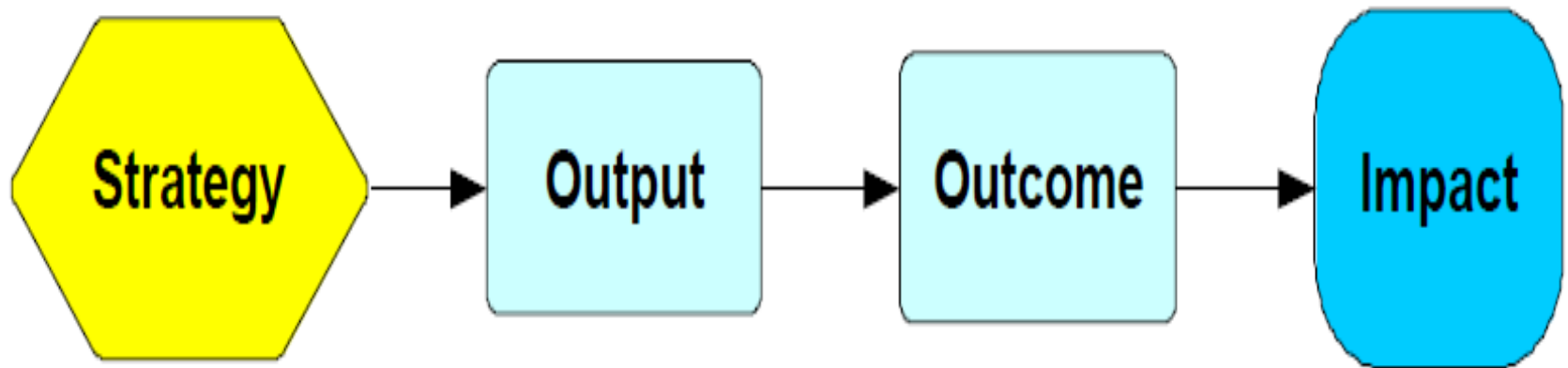


Examples of Outcome Indicators

- # of laws and regulations focused on climate change and climate technologies
- # of laws and regulations integrating climate technologies elements
- # of climate technologies piloted/tested
- # of climate technologies produced
- # of research projects undertaken on technologies
- # of public-private partnerships created
- Amount of public funds invested on a specific technology
- Amount of private funds invested on a specific technology

CTCN Approach to M&E

Monitoring of results + impacts



Examples of Impacts

- Increased capacity to:
 - Identify Environmentally Sound Technology (EST)
 - Prepare and implement EST projects and/ or strategies to support action on low emission and climate-resilient development increased.
 - Deploy and diffuse ESTs and associated developed and developing country knowledge/expertise in developing country Parties
 - Attracting public and private sector investment in EST
 - Contribution to Sustainable Development Goals (17), including:
 - “Take urgent action to combat climate change and its impacts”

M&E in Response Plan Design

Annex I:

Activity	Description of sub-activities conducted by the CTCN	Output and deliverables	Main national partners involved	Objectively Verifiable Indicator	Responsible person/organisation
Activity 1:	Sub-activity 1				
	Sub-activity 2				
	Etc.				
Activity 2:	Sub-activity 1				
	Sub-activity 2				
	Etc.				
Activity 3:	Sub-activity 1				
	Sub-activity 2				
	Etc.				
Etc.					

M&E in Response Implementation Closure: NDE Feedback

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}



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M&E in Response Implementation Closure: NDE Feedback

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*

M&E in Response Implementation Closure: NDE and Partners' Feedback

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}



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M&E in Response Implementation Closure: NDE and Partners' Feedback

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) ...								

Insuring Coordination During Implementation

Possible approaches:

- Response Plan Implementation working group?
- Monthly reports to NDE and CTCN Director?
- Timely delivery of products
- Etc?

Discussion questions

- How can we best sharing the impacts and learning from technical projects help attract more support (domestically and international cooperation)?
- How can/should the NDE be involved in M & E of CTCN technical assistance Requests and Response implementation?
- During Response Plan implementation, what would be the most effective means of ensuring effective coordination (among NDEs, proponents, technical assistance providers, CTC managers, etc).



The Climate Technology Centre gratefully acknowledges the financial support of the European Union and the governments of Canada, Denmark, Germany, Japan, Norway, Switzerland, and the United States.

For more information on CTCN, please visit:

<http://ctc-n.org>