

Version 1.2 April 2015

CTCN Operating Manual for National Designated Entities (NDEs)



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1. Purpose of Manual

The purpose of this manual is to provide clarity on the scope of CTCN services and a clear overview of the request submission and management process, specifically focusing on the crucial role of National Designated Entities (NDEs) from non-Annex I countries and the responsibilities and tasks performed by Climate Technology Centre (CTC) staff.

This document is subject to revision to include other roles of NDEs and based on experience gathered, lessons learned and best practices attained during CTC operations.

The request submission and management process will be revised once the CTC Knowledge Management System (KMS) is fully operational, at which stage requests will be submitted through the KMS.

1.2 Scope of Services

Through its services, the CTCN aims to address barriers that hinder the development and transfer of climate technologies, thereby becoming a catalytic force in creating the enabling environment for reduced greenhouse gas (GHG) emissions and climate vulnerability, improved local innovation capacities, and increased investments in climate technology projects.

The CTCN facilitates the transfer of these technologies through three core services, which will be attuned to demands as they emerge:

- i. Provide technical assistance to developing countries to enhance transfer of climate technologies
- ii. Provide and share information and knowledge on climate technologies
- iii. Foster collaboration and networking of various stakeholders on climate technologies

The first core service is responding to direct requests for technical assistance submitted by developing countries through their NDEs. Technical assistance can be provided along all stages of the technology cycle: from identification of technology needs, through assessment, selection and piloting of technological solutions, to assistance that supports their customization and widespread deployment.

The other two core services – information and knowledge sharing, and networking and collaboration – are not triggered by specific country request, but rather initiated based on common needs identified by the CTCN and other stakeholders. As an example of these CTCN driven services, the CTCN is providing training for NDEs in order to ensure that they are fully prepared and able to play their roles and in a position to make optimal use of CTCN services.

The interrelationship between the services and how they are steered by demand is illustrated in Figure 1. A complete menu of CTCN services along with examples is presented in Annex 1.

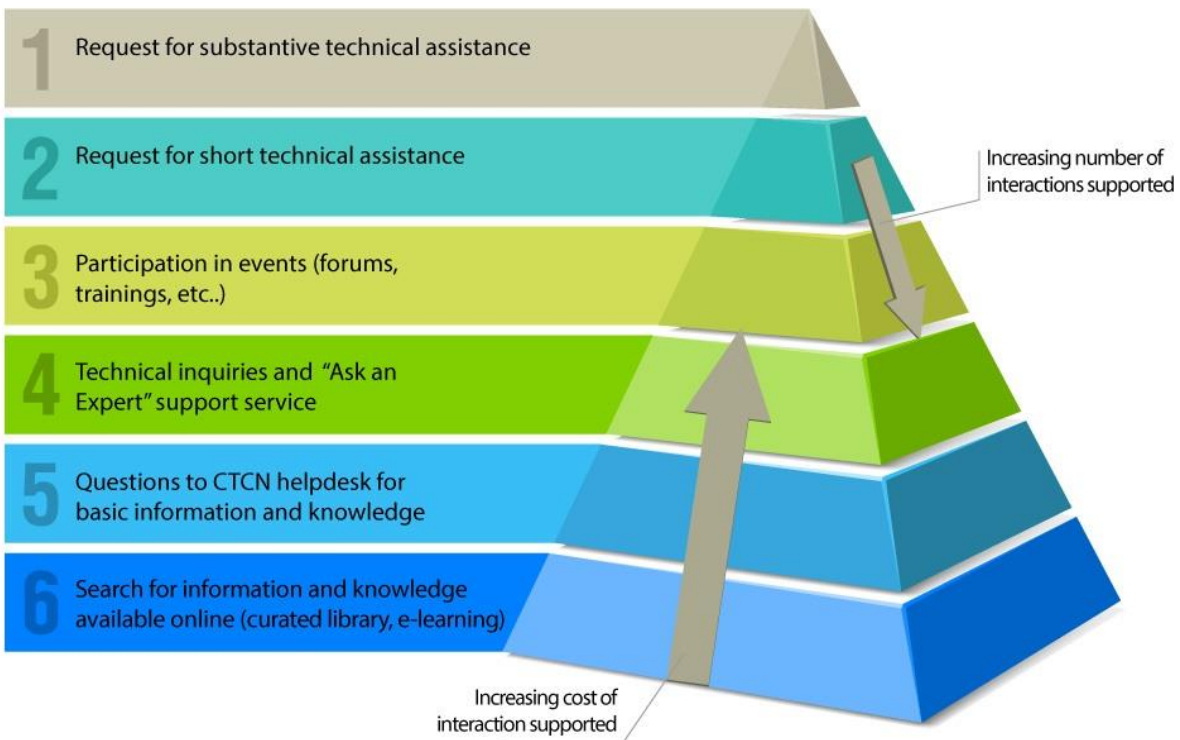


Figure 1: Hierarchy of CTCN Services

2. National Designated Entities (NDEs)

The NDE is the body granted responsibility to manage technology related requests to the CTCN and thus plays a pivotal role as intermediary between the CTCN and national stakeholders. The success of the CTCN greatly depends on NDEs, both from Annex I and non-Annex I countries, as they are the most influential factor in ensuring that the CTCN can effectively and efficiently help developing countries access new and existing technologies for climate change adaptation and mitigation.

It is hoped that NDEs will expand their role beyond CTCN activities and services, thereby becoming “climate technology champions” in their respective countries and take a holistic approach by mainstreaming climate technology issues in all national climate change related plans, policies and strategies.

The COP decisions provide only limited guidance on the role of the NDEs and the requirements for establishing an NDE. The CTCN in consultation with and endorsement by its Advisory Board provides some basic information on the role of NDEs from non-Annex I countries. These NDEs are to:

- i. Serve as a focal point for CTCN activities in their country

- ii. Manage the national request submission process and support the articulation and implementation of CTCN assistance in response to the requests from the country
- iii. Identify priority technology and capacity-building needs in line with national development and climate strategies and design collaborative programmes with the CTCN
- iv. Facilitate the creation of a consultative process to enhance public sector / government actors / private sector coordination and collaboration in the definition of country strategies on technologies for adaptation and mitigation, and
- v. Provide feedback on the quality of CTCN assistance and procedures.

Non-Annex I country NDEs are expected to participate in the design and update of national development and climate strategies and have the capacity of reflecting the identified priorities in their requests to the CTCN by working closely with relevant ministries including ministries of finance, planning, environment, energy, science and technology. These NDEs will ideally create a stakeholder consultation process and will collect proposals and other suggestions for international support, and reflect views of government, the private sector, civil society and academia. To provide these inputs, these NDEs will need technical and scientific expertise to identify, develop and appraise projects. All NDEs can play a crucial role in identifying opportunities for supporting enhanced south-south-north collaboration.

While some Parties determine the nomination of their NDE as well as its operations and interactions at country level, certain framework guidelines on the role of NDEs have been developed. More detailed guidance on NDE roles and responsibilities from the CTC is presented in Annex 2. It is expected that some countries may need assistance to make their NDEs a fully functioning partner of the CTCN. Guidance and training will be provided by the CTCN as they are necessary to enable NDEs to fulfil their roles.

NDEs in Annex I countries may have much to contribute to the activities of the CTCN both in terms of making available relevant information and tools and engaging institutions in their countries.

3. Requests for CTCN Assistance

3.1 What are Requests for CTCN Assistance?

The core service of the CTCN is responding to direct requests for technical assistance submitted by developing countries through their NDEs. For example, the request could be for:

- Technical support and advice for the identification of technology needs;
- Advice on policies and measures for the uptake of climate change mitigation and adaptation technologies;
- Technical support for preparing projects and strategies on mitigation and adaptation technologies;
- Technical support and advice for adapting technologies to meet local needs and circumstances;
- Technical support and advice for facilitating research, development and demonstration of climate friendly technologies;
- Tailored training and capacity building.

Ideally, by responding to a country request, the CTCN would help create conditions for improved climate technology transfer and diffusion to support national sustainable development

goals and/or unlock public or private sector investment for large scale clean technology deployment in the country.

Country requests for assistance are categorized by the CTCN Climate Technology Manager into one of the following two types:

- “Quick response” refers to an activity for which the cost can be up to approximately US\$50,000. That is, the request for assistance can be addressed rapidly and directly by the CTC usually through Consortium partners.
- “Response project” refers to an activity for which the cost would be above US\$50,000 and up to approximately US\$250,000. That is, the request for assistance is larger in scope, requires a more detailed response and is normally tendered to the Climate Technology Network (CTN).

3.2 Request Criteria and Principles

Three groups of criteria and principles will be considered during the review and approval process of the requests submitted by developing country NDEs to the CTCN:

1. Requests are in conformity with CTCN guiding principles (i.e., eligibility criteria)
2. Requests are prioritized according to CTCN balancing principles
3. Requests are supported according to CTCN prioritization criteria

The CTCN guiding principles specify that, to be considered eligible for support by the CTCN, requests for assistance need to demonstrate that:

1. The support provided will contribute to increased resilience and /or mitigate emissions, and is aligned with national plans

This principle ensures that: (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, and (ii) the request is in line with national plans or strategies (e.g., National Development Plan, Poverty Reduction Strategy, Sustainable Development Strategy, Climate Change Strategy, Technology Action Plan). The step-by-step method and process of defining, developing and outlining various possible courses of actions to meet existing or future needs, goals and objectives for a country should be taken into consideration.

2. 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 into consideration its national circumstances.

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.

The balancing principles have the aim of achieving a balanced and equitable portfolio. The CTC will apply the balancing principles when the number of requests received is numerous or exceeds the resources available to respond to the requests received. Lastly, prioritization criteria will be applied to determine which requests the CTC should prioritize for support.

The complete list of prioritization criteria and principles as approved by the CTCN Advisory Board is presented in Annex 3. It should be noted that the prioritization criteria and principles are subject to revision by the Advisory Board.

4. Generating and Submitting Requests

This section in combination with Sections 5 and 6 describes the request for CTCN assistance process, beginning with the generation of the request by the NDE. Figure 2 presented below graphically illustrates the request handling process of the CTCN in three main parts: (i) Request specification (elaborated in Sections 4.1, 4.2, and 5.1); (ii) Formation of response plan (elaborated in Section 5.2); and (iii) Response delivery and closure (elaborated in Sections 6.1, 6.2, and 6.3). The figure also notes the main decision points and how key role players are involved in the request handling process.

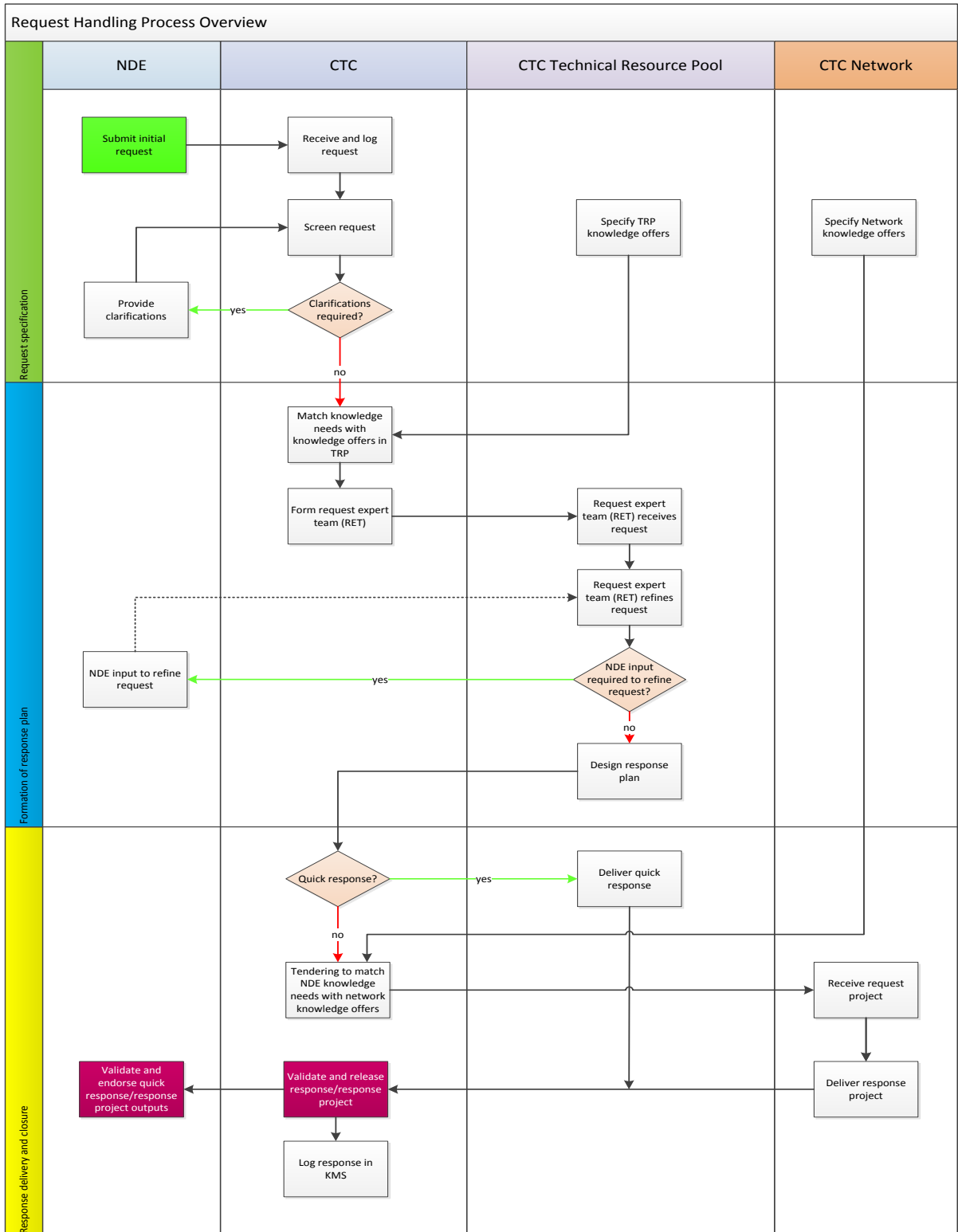


Figure 2: Request Processing Flowchart

4.1 Request Generation

The establishment of a NDE is a necessary step for a country to access CTCN services. The NDE is the national focal point for the country to communicate and cooperate with the CTCN.

The main responsibility of the NDE in the request process 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.

4.1.1 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. Alignment with national plans and priorities and project accountability are among the guiding principles that the CTC shall consider when prioritizing requests.

In order to ensure that the request complies with the guiding principles, it is recommended that the NDE leads in-country stakeholder consultation processes with representatives to collect inputs and suggestions from relevant ministries and government agencies, the private sector, financial bodies, NGOs and community organizations, and all other actors who may affect and be affected by the outcomes of the proposal. It is important to define collaborative activities with these stakeholders with the result being high priority requests to submit to the CTCN. Engaging representatives from national, provincial and local governments in the relevant process is key to guarantee the feasibility of the proposal at all levels.

Table 1 presents a list of possible key stakeholders. The extent to which each stakeholder type is represented will differ by country and by request. However, it is important that as many of these types of stakeholders are involved from an early stage as is practical.

Table 1: List of Possible Key Stakeholders

POSSIBLE KEY STAKEHOLDERS
• Government departments with responsibility for policy formulation and regulation of sectors related to the request
• Industries and industry associations, businesses, and distributors that are operating in sectors with high GHG emission impact or that are vulnerable to climate change impacts
• Electric utilities and regulators
• Within the private sector, technology users and/or suppliers who could play a key local role in developing/adapting technologies in the country
• Organizations involved in the research and development, manufacture, import, sale, and promotion of technologies for mitigation or adaptation
• The finance community, which could provide the capital required for technology project development and implementation
• Communities, small businesses and farmers that are or will be using the technologies and who would experience the effects of climate change
• Non-Governmental Organizations involved with the promotion of environmental and social objectives

- | |
|---|
| <ul style="list-style-type: none"> • Institutions that provide technical support to both government and industry (e.g., universities, research institutions, think tanks, and consultants) |
| <ul style="list-style-type: none"> • Labor unions, consumer groups, and media |
| <ul style="list-style-type: none"> • Country divisions of international companies responsible for investments important to climate policy (e.g., agriculture and forestry) |
| <ul style="list-style-type: none"> • International organizations, cooperation agencies, and donors |

4.1.2 Linkage with Existing Climate Change Programmes

The NDE shall coordinate with other national focal points of UNFCCC Mechanisms such as the Designated Authorities and National Implementing Entities for the Adaptation Fund; the Designated National Authorities for the Clean Development Mechanism, and the National Focal Points for NAMAs, to enhance effectiveness and scope of the CTCN interventions and leverage international funding for adaptation and mitigation activities. This would entail finding linkages and synergies with all relevant existing projects and programmes, drawing lessons from earlier initiatives during the project design, learning from their problems and mistakes, and establishing a framework for coordination during implementation. This will ensure that the request is in line with national plans and priorities.

The identification of priority sectors and technologies is a key step in the generation of a request. Countries that have conducted a national assessment process such as Technology Needs Assessment (TNA), Low Emission Development Strategies (LEDS), National Adaptation Plans (NAPs, NAPAs), Nationally Appropriate Mitigation Actions (NAMAs), or other activities may want to use those results to feed into their request generation process. Consideration of these other consultative processes will help ensure that the request is in line with national development and climate strategies.

These other consultative processes may also satisfy the CTCN guiding principle that CTCN support will contribute to increased resilience and/or mitigation of emissions and is aligned with national plans.

4.2 Request Submission

4.2.1 Main Requirements

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

In order to increase the likelihood of accessing the services of the CTCN and accelerate the CTCN response process, NDEs should assess their draft request against the request prioritization criteria that were outlined in section 3.2 prior to submitting their requests to the CTCN.

The request prioritization criteria applied by the CTCN fall into three groupings and all will be taken into consideration during the request review and approval process as follows:

1. The request is in conformity with CTCN guiding principles
2. Requests are supported according to CTCN prioritization criteria
3. Requests are prioritized according to CTCN balancing principles

4.2.2 Request Submission Form

All requests must be submitted using the CTCN Request Submission Form. The Request Submission Form includes guidance on how to complete the submission form and has been included in Annex 4.

5. CTC Request Processing

The CTC will process the request once it is received from the NDEs. As mentioned earlier, the process used by the CTC to receive and handle requests is outlined graphically in Figure 2. Each specific step for processing requests from NDEs is further explained in the following sections.

A summary of the timelines for each of the request processing steps are presented in Table 2. However, it should be noted that additional time may be necessary should clarification or additional information regarding the request be required. As with much of this document, these timelines are subject to revision based on experience gathered during CTC operations.

Table 2: Summary of CTC Request Processing Steps and Timelines

Step of Process		Step Details	Timeline
1	Receive and acknowledge request	<ul style="list-style-type: none"> Acknowledge and log receipt of request Assign reference number to request submitted 	Upon receipt
2	Screening of request	<ul style="list-style-type: none"> Screen and check against eligibility criteria, prioritization criteria and balancing principles Contact NDE for initial confirmation of scope of request Conclude preliminary appraisal of request (approval/refusal/not prioritized) 	1 - 2 weeks
3	Development of response plan	<ul style="list-style-type: none"> Further refine scope and scale of request as necessary Develop response plan Ensure refined request and response plan with terms of reference endorsed by NDE 	2 - 8 weeks, depending on complexity of response
4	Implementation of response	<ul style="list-style-type: none"> Selection of response implementer by the CTCN (Consortium Partner or Network Member) Quick response or full response project will be implemented 	As per timeline in response plan
5	Closure of response and information sharing	<ul style="list-style-type: none"> Implementer deliver products of the assistance Development of a case study posted on the KMS 	2 – 4 weeks after completion of the assistance
6	Monitoring of short and medium term impacts	<ul style="list-style-type: none"> Implementer work with request proponent and NDE to develop an Impact Monitoring Plan Implementation of the Impact Monitoring Plan to keep track of actions conducted as a follow-up of the assistance and concrete impacts on the ground 	As per timeline in impact monitoring plan

5.1 Request Specification

5.1.1 Receiving of Requests by CTC

The CTC Climate Technology Managers and support staff are responsible for receiving requests from NDEs. Once a NDE request is received by the CTC, the request is logged into the CTCN tracking system and is assigned a unique request tracking identification number. The request will be responded to with:

- An acknowledgement of receipt of the request by the CTCN
- A request tracking identification number

This process will be an automated administrative process once CTCN electronic systems are in place.

5.1.2 Screening of Requests

In the screening stage, requests are screened by the Climate Technology Manager to ensure that request submissions are complete and adhere to the Request Submission Form. The submitted request is also assessed against the request prioritization criteria.

At this stage, the Climate Technology Manager may contact the NDE to obtain any necessary clarifications regarding the request. Requested clarifications can involve any of the following areas:

- Administrative deficiencies and inconsistencies with the submission template
- Insufficient information available to assess the request against the request prioritization criteria
- Any other clarification necessary to enable the Climate Technology Manager to properly assess and screen the incoming request

Once the NDE has provided any and all necessary clarifications regarding the request, the Climate Technology Manager will conclude the preliminary appraisal of the request and send a formal confirmation to the NDE indicating either:

- The request is eligible and prioritized, and is being forwarded to the next stage for formation of a request response plan; or
- The request is eligible but has not been prioritized against balancing principles and/or prioritization criteria
- The request is not eligible and does not fulfill CTCN guiding principles

5.2 Formation of Request Response Plan

This stage is primarily a CTC internal process. However, it is included here to provide NDEs with a better understanding of how their prioritized request is managed by the CTC.

5.2.1 Selection of Request Expert Team (RET)

At this stage, the CTC Climate Technology Manager matches the knowledge needs of the request with the knowledge and expertise available in the CTC, including the Consortium

Partners. Matching of knowledge needs is performed based on sectoral and geographic expertise. This matchmaking will result in the formation of a Request Expert Team (RET) consisting of the Climate Technology Manager and/or a Consortium Partner, that will prepare a response plan for the request. Depending on the scope of the request, the RET can range from one person from the CTC to the inclusion of a Climate Technology Network (CTN) institution with expertise specific to the request.

5.2.2 Response Plan Development

The Request Expert Team receives the request and proceeds to work with the NDE as necessary to refine the request.

A response plan is prepared that details the Terms of Reference of assistance and includes the scope of assistance, the schedule of key deliverables, and an estimated budget. The NDE is contacted by the Climate Technology Manager to confirm that the refined request and response plan meet the expectations of the NDE. Once the refined response plan is accepted by the NDE, the process moves to the next stage for response delivery.

6. Response Implementation, Evaluation and Reporting

6.1 Response Implementation

With a response plan accepted by the NDE, the process will proceed to response plan implementation. With the response plan in place, the Climate Technology Manager will determine what type of response is warranted. That is, either a “quick response” or a “response project”.

6.1.1 Quick Response or Response Project

As mentioned in section 3.1, there are two types of requests with the difference between the two types being the level of effort required to respond to the request. With the response plan developed by the Request Expert Team, the Climate Technology Manager is able to determine, based on the estimated cost of the activity, whether a quick response or a response project is warranted.

Quick Response

If the response to the request is estimated to cost up to approximately US\$50,000, it is considered to be a quick response activity and the Climate Technology Manager will rapidly contract the response activity to the CTC Consortium Partner that is the most qualified in delivering the response activity, taking into consideration sectoral, regional, and country expertise. If sufficient expertise is not available among the Consortium Partners, the CTC will contract beyond the Consortium Partners (i.e., to the Network) to deliver the response activity.

Response Project

If the response to the request is estimated to cost more than US\$50,000, and up to approximately US\$250,000, it is considered to be a response project and the Climate Technology Manager will tender the activity to the Climate Technology Network to solicit bids for providing the technical support in response to the request. Given the larger project value, the CTC believes that a tendering process is most appropriate even though it may be more

complicated and time consuming. The exception to this will be during the early days of the CTCN when the Network does not yet exist and greater reliance will be placed on the Consortium Partners.

6.2 Response Delivery

Depending on whether a quick response or a response project is warranted, a Consortium Partner or a Network member will deliver the response to the CTC. However, as noted in Section 6.1 above, there may be some exceptions to this rule.

Regardless of who delivers the response on behalf of the CTC, the Climate Technology Manager will validate the response before releasing the response (both quick responses and response projects) to the NDE.

After a discussion organized by the CTC between the NDE and the CTN member responsible for delivering the response plan to address any outstanding concerns, the NDE will be contacted to validate and endorse the results of the quick response/response project outputs.

6.3 Monitoring, Evaluation and Reporting

6.3.1 Monitoring

Consortium Partners and members of the Climate Technology Network that are contracted by the CTCN to prepare quick responses/response projects will provide the CTC with periodic progress updates and communicate any issues that may arise, according to UN Rules and Regulations. Periodic updates on response progress will be shared with the NDE for collaboration and transparency purposes. Provisions will be made in the Terms of Reference with the contracted party to facilitate periodic and/or milestone-based monitoring of the assistance provided.

The NDE facilitates and monitors development of the quick response/response project to ensure country ownership as well as the success and quality of the response provided. In addition, the Climate Technology Manager, assisted by the Request Expert Team, maintains regular communication with the NDE and preparer of the response to obtain feedback on progress and to identify any needs for adjustment in the response activity.

6.3.2 Reporting

At the end of response implementation, those delivering response activities will submit a final report to the CTC to highlight the challenges and lessons learned. The NDE will evaluate the CTCN assistance received by completing the Response Feedback Form (see Annex 5). The NDE will also evaluate the organization that provided the response assistance to the country. This will facilitate reporting to the Advisory Board and the Conference of the Parties on the relevance, effectiveness, quality and expected impacts of the assistance delivered by the CCN. Overall performance ratings and lessons learned will be incorporated into statistics across all CTCN projects and captured in the CTCN Knowledge Management System for further dissemination to other NDEs and stakeholders.

6.3.3 Impact Monitoring

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. The Impact Monitoring Plan will include specific indicators and milestones to be monitored over a predetermined period of time (agreed by the NDE and the CTC). This will facilitate reporting to the Advisory Board and the Conference of the Parties on the impacts of the Technology Mechanism.

Annexes

Annex 1: Menu of CTCN Services

The Climate Technology Centre and Network (CTCN) promotes accelerated, diversified and scaled-up transfer of environmentally sound technologies for climate change mitigation and adaptation in developing countries, in line with their sustainable development priorities. Climate technologies include equipment, techniques, practical knowledge and skills needed for reducing greenhouse gas emissions and adapting to climate change.¹

Through its services, the CTCN aims at addressing barriers that hinder the development and transfer of climate technologies, thereby becoming a catalytic force in creating the enabling environment for reduced greenhouse gas (GHG) emissions and climate vulnerability, improved local innovation capacities, and increased investments in climate technology projects.

The CTCN facilitates the transfer of these technologies through three core services, which will be attuned to demands as they emerge:

1. Provide technical assistance to developing countries to enhance transfer of climate technologies
2. Provide and share information and knowledge on climate technologies
3. Foster collaboration and networking of various stakeholders on climate technologies

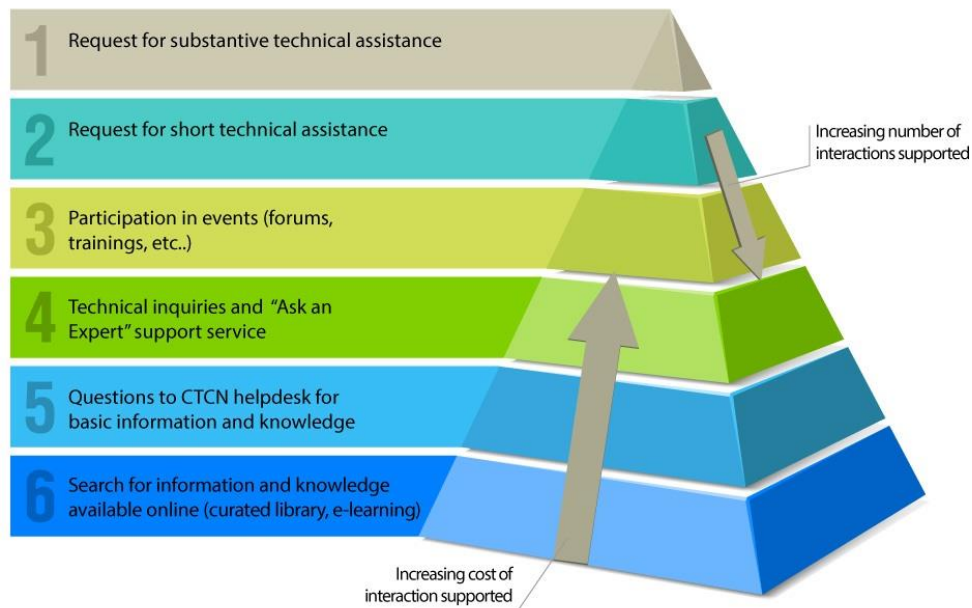
The first core service is responding to direct requests for technical assistance submitted by developing countries through their National Designated Entities, or NDEs. Technical assistance can be provided along all stages of the technology cycle: from identification of technology needs, through assessment, selection and piloting of technological solutions, to assistance that supports their customization and widespread deployment.

The other two core services – information and knowledge sharing, and networking and collaboration – are not triggered by specific country request, but rather initiated based on common needs identified by the CTCN and other stakeholders. As an example of these CTCN driven services, the CTCN is providing training for NDEs in order to ensure that they are fully prepared and able to play their roles and in a position to make optimal use of CTCN services.

The interrelationship between the services and how they are steered by demand is illustrated in Figure 1.

¹ Adapted from IPCC, 2000 - Bert Metz, Ogunlade Davidson, Jan-Willem Martens, Sascha Van Rooijen and Laura Van Wie Mcgrory (Eds.) Cambridge University Press, UK. pp 432

Figure 1: Hierarchy of CTCN Services



1. TECHNICAL ASSISTANCE

The CTCN responds to requests received from developing countries that have been submitted by their NDEs. The CTCN assistance aims to help countries in identifying climate technologies that are suitable to their needs, in creating enabling conditions for the deployment of these technologies, and in facilitating access to funding that supports their use. The assistance provided is tailored to the needs expressed by the requesting country.

The CTCN does not provide funding directly to countries, but instead supports the provision of technical assistance provided by experts on specific climate technology sectors. Through its “Ask an Expert” assistance, the CTCN provides remote technical advice on specific questions, for which in-country assistance is not needed.

In addition, the CTCN provides in-country assistance as appropriate to assist developing countries at their request. Technical assistance requiring limited support will be considered a “quick response” (representing a value of less than USD50,000) and will generally be provided by the Climate Technology Centre (CTC), including its Consortium Partners. Assistance for a more complicated request is considered a “response project” (representing a value up to about USD250,000) and will be executed by organizations from the Climate Technology Network (CTCN), with oversight and guidance provided by the CTC.

In particular, the CTCN will deliver five main types of support:

- a. Technical assessments, including technical expertise and recommendations related to specific technology needs, identification of technologies, technology barriers, technology efficiency, as well as piloting and deployment of technologies.
- b. Technical support for policy and planning documents, include strategies and policies, roadmaps and action plans, regulations and legal measures

- c. Trainings
- d. Tools and methodologies
- e. Implementation plans

Below are a few examples of technical assistance support the CTCN could provide:

- ✓ *Development of a study to understand knowledge gaps on sustainable waste management and opportunities to fill the gaps for mitigating GHG emissions.*
- ✓ *Formulation of recommendations concerning specific climate-proof technologies for coastal protection using natural ecosystems.*
- ✓ *Formulation of a market assessment to introduce the use and deployment of solar energy technology in industry.*
- ✓ *Drafting of a national strategy for climate disaster resilience in small islands.*
- ✓ *Development of a training programme on sustainable agroforestry practices for local communities.*
- ✓ *Refinement and support in rolling out an approach to collecting, aggregating and monitoring the success of low carbon technologies for cattle farming in semi-arid regions.*
- ✓ *Development of a business plan for a new public agency that facilitates private sector investments in renewable energies.*

2. INFORMATION AND KNOWLEDGE

The Knowledge Management System (KMS) of the CTCN provides a broad range of knowledge resources that can accelerate the understanding and transfer of climate technologies. The helpdesk of the KMS is accessible to all users for any questions or difficulties they can encounter while navigating and using the KMS. The KMS is accessible online by all organizations and individuals interested in learning or sharing information on climate technologies.

KMS users can access three main types of information:

- a. Resource database: the resources database provides access to various types of high quality documents, curated by the CTCN Consortium, including:
 - Brochures, fact sheets and briefs
 - Dataset and maps
 - Reports
 - Tools
 - Training curriculum and programs
 - Materials related to CTCN technical assistance
- b. Training modules: the trainings that will be progressively available will include online trainings, live webinars, etc.
- c. Community of practice platform: the platform allows stakeholders to share and discuss information of particular interest for their peer.

Below are a few indicative examples of the type of resources that may eventually be found in the KMS:

- ✓ *Live webinar on how to reduce technology risks in wind energy projects.*
- ✓ *Final report of CTCN assistance to introduce biomass gasifiers in dairy industry supply chain.*
- ✓ *Academic program on clean public transportation.*
- ✓ *Project-planning tool that help design activities for climate adaptation.*
- ✓ *Compilation of best practices on erosion control through tree planting*
- ✓ *Projection map of climatically suitable habitat for tree species based on global warming projections.*
- ✓ *Case study on the introduction of low cost drip irrigation techniques in rural areas.*

3. NETWORK AND COLLABORATION

The CTCN creates various networking opportunities for stakeholders involved in climate technologies that encourage and facilitate initial contact, collaboration and partnerships among various actors. The CTCN provides access to an international network of individual experts and organizations, to identify possible partners for collaboration and potential funders across a wide range of public and private organizations worldwide that have common interests and are working toward similar objectives.

These opportunities are provided through various events such as:

- a. International and regional forums
- b. Workshops for public-private partnerships
- c. Peer learning events

Below are a few indicative examples of the type of activities the CTCN may support for encouraging networking and collaboration:

- ✓ *International forum on high efficiency appliance standards and labelling.*
- ✓ *Regional forum of National Designated Entities to exchange experiences on barriers and opportunities for the deployment of climate technologies.*
- ✓ *Matchmaking workshop involving public and private entities on geothermal technology.*
- ✓ *Professional south-south exchange program on systems to improve climate-sensitive diseases surveillance and control.*

Annex 2: National Designated Entities for the CTCN

Non-Annex I National Designated Entities (NDEs) for the CTCN

The following description of possible roles of Non-Annex I NDEs has been developed by the Climate Technology Centre (CTC) as a guide. It represents a “work in progress” and provides some thoughts and suggestions that countries might find helpful in defining the roles of their NDEs.

1. Purpose of this note

The Climate Technology Centre and Network (CTCN) is the operational arm of the Technology Mechanism of the United Nations Framework Convention on Climate Change (UNFCCC) and it is hosted and managed by UNEP in collaboration with UNIDO and with the support of 11 Centres of Excellence located in developing and developed countries.

National Designated Entities (NDEs) are the bodies granted responsibility by each Party to manage technology collaboration activities supported through the CTCN. In its decision 2/CP.18, the Conference of Parties (COP) of the UNFCCC - *“invites Parties to nominate their national designated entities for the development and transfer of technologies, in order to facilitate the operationalization of the CTC”*.

The nomination of NDEs is thus a necessary step for Parties to participate in the CTCN process. Nonetheless, COP decisions provide only limited guidance on the roles of NDEs, leaving these issues to each Party to determine. This note is intended to provide some thoughts on the tasks that NDEs from Non Annex I country parties – Non-Annex I NDEs – could perform to facilitate collaboration between their countries, the CTCN, and Annex I NDEs and to ensure the success of the CTCN and its positive impact in developing countries.

2. Role of Non-Annex I National Designated Entities

The success of the CTCN greatly depends on NDEs. They are the most influential factor in ensuring that the CTCN can effectively and efficiently help developing countries access new and existing technologies for climate change adaptation and mitigation.

It is hoped that NDEs will expand their role beyond CTCN activities and services, thereby becoming ‘climate technology champions’ in their respective countries: taking a holistic approach by mainstreaming climate technology issues in all national climate change-related plans, policies and strategies. As climate technology champions, NDEs in developing countries will play a fundamental role in ensuring that requests submitted to the CTCN reflect national circumstances and priorities.

In addition, NDEs will ensure that support provided by the CTCN is well coordinated at the national level with other processes that address climate change, including ensuring engagement of relevant ministries, thought-leaders, key decision-makers, focal points for other

UNFCCC mechanisms, the private sector, civil society, and academia as relevant. NDEs are also encouraged to build a national network for climate technology actions, promote CTCN activities and services in their country, and disseminate climate technology-related plans, policies and information.

In particular, Non-Annex I NDEs can help their country move to a low-carbon, climate resilient development by:

- i. Acting as the national CTCN focal point.
- ii. Coordinating activities and services of the CTCN in the country.
- iii. Acting as an active member of the Climate Technology Network (CTN).

3. Examples of Non-Annex I NDEs roles

The table below provides examples of actions Non-Annex I NDEs might undertake. It is meant to be indicative only; exact responsibilities will differ from country to country, determined by each country.

Possible NDE role	<i>Example of specific actions NDE can undertake</i>
<p>1. Act as National CTCN Focal Point</p>	<ol style="list-style-type: none"> a. Engage national stakeholders on CTCN related activities, to identify collaboration and synergies (e.g. key decision-makers, private companies, NGOs, donor coordination groups, national focal points of other UNFCCC Mechanisms such as the Adaptation Fund’s Designated Authorities and National Implementing Entities; Clean Development Mechanism’s Designated National Authorities, NAMA’s National Focal Points) b. Identify opportunity for complementing existing and past efforts and programmes in the country with CTCN activities, to avoid duplications c. Ensure the integration of climate technology issues into national, sectorial and local development plans, in order to leverage domestic and international funding for adaptation and mitigation activities (TNAs – NAMAs – NAPAs) d. Facilitate the exchange of information on climate technology issues and on CTCN activities with in-country stakeholders: <ul style="list-style-type: none"> - Stay informed on climate technologies challenges and build NDE capacities by accessing knowledge in the KMS and participating in online trainings - Stay informed about the CTCN (visit CTCN website, communicate regularly with the CTC, read CTCN documents disseminated) - Stay informed about domestic efforts on climate change and climate technologies - Disseminate information about the CTCN with relevant in-country stakeholders (through participation in conferences and events, social media, national media, translate CTCN information package into national language)

	<ul style="list-style-type: none"> - Channel to the CTCN relevant information on climate technology related programmes, initiatives, development, policies, actors, needs, success stories e. Facilitate interactions between CTCN and in-country stakeholders, as needed (e.g. map relevant stakeholders, coordinate national network members, organize meetings) f. Provide regular feedback on how the CTCN can improve the quality of its support and its overall procedures
<p>2. Managing the national submission process of technical assistance requests to the CTCN</p>	<ul style="list-style-type: none"> a. Lead in-country consultative processes with key decision-makers, privates companies, development organizations, and other stakeholders to select high priority requests to submit to the CTCN and define collaborative activities with these agencies b. Provide guidance and oversight for the development of requests that well aligned with CTCN support, consistent with the country’s climate and development priorities, and complementary with existing efforts of development organizations, to avoid duplications and increase impact of CTCN support (e.g. map existing national and international programmes, set national criteria to evaluate consistency with national priorities) c. Select high priority requests (e.g. set national criteria to prioritize requests), submit them to the CTCN and help refining requests, as needed d. Support the implementation of technical assistance by liaising with national stakeholders, and the CTCN, if needed. e. Secure any necessary commitments from in-country government agencies or non-government institutions to undertake follow-up actions to CTCN assistance f. Identify and catalyze funding opportunities for climate-technology plans originated by CTCN assistance g. Monitor the effectiveness of CTCN assistance and inform the CTCN of any needs for adjustment (e.g. collaborate with the CTC on Monitoring and Evaluation plans)
<p>3. Contribute to increase information and knowledge sharing through the KMS</p>	<ul style="list-style-type: none"> a. Provide the CTC with documents and information that are relevant to the Knowledge Management System (e.g. climate adaptation and mitigation technology data, tools, reports) b. Showcase in the KMS best practices and case studies developed by national actors from public and private sectors c. Develop materials for the KMS based on the country’s experience with CTCN services including responses to technical assistance requests (e.g. ‘success story’ as outcome of CTCN assistance)

<p>4. Increase collaboration and networking opportunities within the CTCN – including through Network membership</p>	<ul style="list-style-type: none"> a. Disseminate information to in-country organizations on the opportunity to participate in the Network (e.g. share network membership criteria and application form) b. Identify potential Network members, assess their capacities, and support them in joining the CTN b. Serve as Network member and act as liaison between other national Network members and the CTCN ('Network Lead' in the country) c. Identify needs and opportunities for regional and global peer learning and collaboration that the CTCN can conduct across countries on topics of common interest d. Coordinate participation (where desired) of interested organizations, experts and decision-makers in regional and global collaborative activities e. Participate in networking events and peer learning activities f. Propose the organization of climate technology events and forums on topics of interest g. Collaborate with Annex I NDEs on areas of common interest
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Annex 3: CTCN Prioritization Criteria

Prioritization criteria for responding to requests from developing country Parties

This document has been approved by the Advisory Board of the Climate Technology Centre and Network at its Second Meeting, held on 9-11 September 2013 in Bonn, Germany, recognizing that it will need to be revised and reviewed once the CTCN is fully operational.

Guiding principles

The Director of the Climate Technology Centre shall ensure that all requests for assistance approved by the CTCN demonstrate that:

1. The support provided will contribute to increased resilience and /or mitigate emissions, and is aligned with national plans
2. The support will enhance endogenous capacities
3. Processes are in place in the requesting country to monitor and evaluate any support provided (that is, project accountability is ensured).

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.

Prioritization criteria (project specific and in no order)

In determining which requests to support, the CTC Director shall prioritize projects that:

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

Annex 4: Request Submission Form for CTCN Technical Assistance (version 1.1)

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

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

Technology Needs Assessment (TNA):
<i>{Select one of the three boxes below:}</i>
<input type="checkbox"/> <i>The requesting country has conducted a TNA in (please insert date of TNA completion)</i>
<input type="checkbox"/> <i>The requesting country is currently conducting a TNA</i>
<input type="checkbox"/> <i>The requesting country has never conducted a TNA</i>
<i>{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.}</i>

CTCN Request Incubator Programme:
<i>{Please indicate if this request was developed with support from the Request Incubator Programme:}</i>
<input type="checkbox"/> <i>Yes</i>
<input type="checkbox"/> <i>No</i>

Geographical focus:
<i>{Select below the most relevant geographical level for this request:}</i>

- 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}

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.}

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.}

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).}

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.}

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

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.)}

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.}

Monitoring and impact of the assistance:

{Read carefully and tick the boxes below.}

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.

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

Annex 5: Response Feedback Form – Format for Feedback on CTCN Support

COUNTRY:

PROJECT NUMBER/REFERENCE:

TITLE:

{Title of response, as per the Response Plan}

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 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*

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}

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}

OTHER COMMENTS AND REMARKS

DATE AND SIGNATURE

<i>NDE name:</i>	<i>Signature:</i>
<i>Institution:</i>	<i>Date:</i>

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

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

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