Process and Procedures for
Monitoring, Assessment & Evaluation of CTCN Technical Assistance

1. Background

The 5th meeting of the CTCN Advisory Board in April 2015 took note of the draft outline provided on the outcomes and impacts that the CTCN would Monitor and Evaluate (M&E) as part of its normal operations. The CTCN Advisory Board requested more detail on the process for monitoring and evaluating the CTCN's provision of Technical Assistance (the "response").

This note aims to respond to the Advisory Board's request, building on the related guidance received from COP, namely:

A.   CTCN Advisory Board to monitor, assess and evaluate the **timeliness** and **appropriateness** of responses of the CTCN to requests by developing country Parties (Para 9(e) of the Terms of Reference of the CTCN, as contained in Annex VII to decision 2/CP.17 (document FCCC/CP/2011/9/Add.1))

B.   CTC to monitor and evaluate the **quality** and **effectiveness** of responses in consultation with the requesting NDE (Para 2(f) of the Modalities and Procedures of the CTCN, as contained in Annex I to decision 25/CP.19 (document FCCC/CP/2013/10/Add.3))

In line with the CTCN's Technical Assistance Process and Procedure's each individual technical assistance will have its own specific impacts and indicates in relation to the Sustainable Development Goals, Gender, GHG, Investment, Resilience, etc. The results of these individual impacts will be aggrated during the periodic review in order to be able to outline the overall contribution of the CTCNs Technical Assistances impacts on the above.

2. Definition of key elements for Technical Assistance M&E

Parties have requested that the CTCN's responses to requests by developing country Parties are monitored, assessed and evaluated for timeliness and appropriateness as well as for their quality and effectiveness.

The application of the term 'timeliness' is considered to result from the timelines of the TA process as specified in the Process and Criteria for Responding to Country Requests for Technical Assistance (AB/2015/6/7.1), and from the Response Plan timing of the deliverables, as well as the associated contract between the CTCN and the Response Implementer.

The application of the term 'appropriateness' is considered to result from the CTCN Advisory Board's approval at the 2nd meeting of the CTCN Advisory Board in September 2013 of the CTCN Prioritization Criteria for Responding to Requests from Developing Country Parties [1] (with respect to the eligibility, prioritization and balancing criteria for the requests). Moreover, appropriateness is further considered to result from the Advisory Board approval of the response design and delivery process and procedures,

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[1]

http://unfccc.int/ttclear/misc_/StaticFiles/gnwoerk_static/TEM_CTC_infobox_2/83a64e4046954ee6bc7c685385a3c6cc/240bcf259a814482a6b0b3d0f73932a4.pdf

and its approval of the criteria for the response outcomes and impacts (as presented at the 5th meeting of the CTCN Advisory Board in April 2015).

Whereas, the application of the terms 'quality and effectiveness' is considered to result from a response's delivery (through a Response Evaluation Form) and its outcomes and impacts (through a Response Impact Monitoring Plan).

For the purpose of this document and for the CTCN's Technical Assistance Process and Procedures, the application and definition of the terms 'timeliness', 'appropriateness', 'quality' and 'effectiveness' are discussed below and in the following sections.

Timeliness

For the purpose the CTCN's Technical Assistance Process and Procedures (and the application of M&E) the term timeliness is defined as being when at each and any time a response within the CTCN's Technical Assistance process responds to the needs of a request by delivering the required activities and outputs at the right moment within the predetermined time frame for each stage of the TA process as set out in the TA Process and Procedures.

a. The term, *at the right moment* is considered as being subject to: an NDE accepting the proposed delivery dates/ milestones as proposed within the response plan as part of its final sign off; and, the Consortium Partner and/or Network Member accepting the proposed delivery dates of its tasks as set out by the contract with the CTCN

b. The term, *predetermined timeframe* is considered as being subject to and framed by the timelines of the Technical Assistance process as specified in the Process and Criteria for Responding to Country Requests for Technical Assistance.
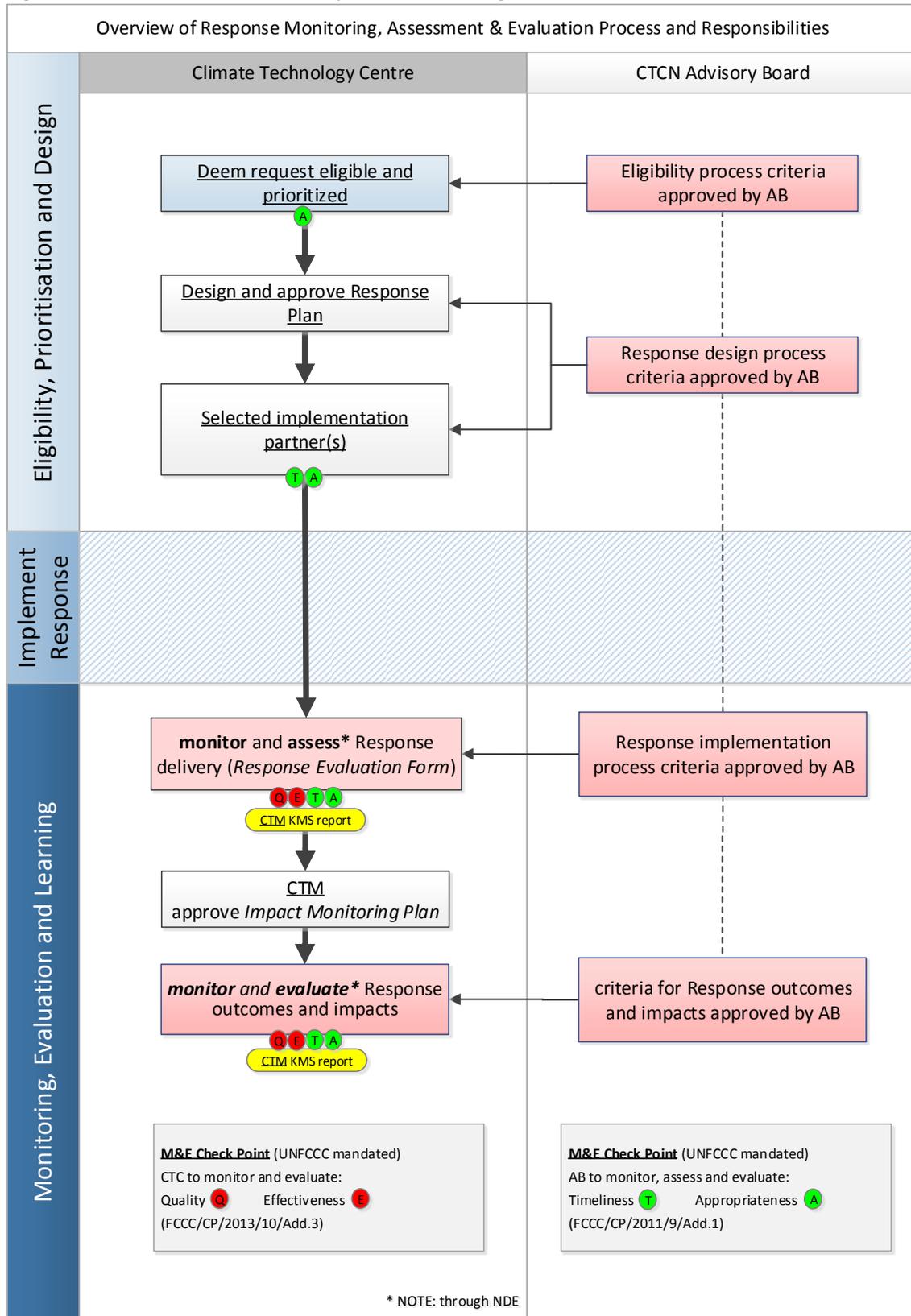
Appropriateness

In the context of a CTCN request, appropriateness is considered, in three ways:

1. Alignment with the eligibility, prioritisation and balancing criteria, as approved by the CTCN Advisory Board (see "Process and Criteria for Responding to Country Requests for Technical Assistance" AB/2015/6/7.1, Stage 1.A – Reviewing a Request).

2. Relevance of the Response Plan to addressing the expressed needs and requirements of the request, as defined by:
   a) CTCN Director forming a Response Planning Team in alignment with CTCN procedures (see "Process and Criteria for Responding to Country Requests for Technical Assistance" AB/2015/6/7.1, Stage 1.A – Designing a Response Plan);
   b) NDE approving the Response Plan and provides a positive set of appropriateness-based answers and feedback to statements set within the Impact Monitoring Plan

3. Quality and effectiveness of implementation, as defined by:
   a) Evaluation and learning report produced at the end of the technical assistance, prepared by a CTCN Consortium Partner (see "Process and Criteria for Responding to Country Requests for Technical Assistance" AB/2015/6/7.1, Stage 4.A – Designing a Response Plan);
   b) NDE provides a positive set of appropriateness-based answers and feedback to statements set within the post-implementation Response Evaluation Form (see Annex 2) on the degree to which the response activities and outputs have addressed the needs and requirements of the request.

3. <u>**Monitoring & Evaluation System within the Technical Assistance Process**</u>

Figure 1. Overview of CTCN TA Response Monitoring, Assessment & Evaluation Process

Overview of Response Monitoring, Assessment & Evaluation Process and Responsibilities	
Climate Technology Centre	CTCN Advisory Board

Eligibility, Prioritisation and Design

Deem request eligible and prioritized ← Eligibility process criteria approved by AB

(A)

Design and approve Response Plan ← Response design process criteria approved by AB

Selected implementation partner(s)

(T)(A)

Implement Response

Monitoring, Evaluation and Learning

monitor and **assess*** Response delivery (*Response Evaluation Form*) ← Response implementation process criteria approved by AB

(Q)(E)(T)(A)
CTM KMS report

CTM approve *Impact Monitoring Plan*

monitor** and **evaluate Response outcomes and impacts ← criteria for Response outcomes and impacts approved by AB

(Q)(E)(T)(A)
CTM KMS report

M&E Check Point (UNFCCC mandated)
CTC to monitor and evaluate:
Quality (Q)   Effectiveness (E)
(FCCC/CP/2013/10/Add.3)

M&E Check Point (UNFCCC mandated)
AB to monitor, assess and evaluate:
Timeliness (T)   Appropriateness (A)
(FCCC/CP/2011/9/Add.1)

* NOTE: through NDE

As described above, the determination of the timeliness, appropriateness, quality and effectiveness of the technical assistance process and its responses will be based on a number of different factors and actor. Figure 1 above conveys an overview of the CTCN's TA response monitoring, assessment and evaluation process from the viewpoint of the eligibility & prioritization, design, implementation and the monitoring, evaluation & learning stages of the technical assistance process. Figure one overlays onto these stages the various activities and responsibilities of the Climate Technology Centre and the CTCN Advisory Board.

The points at which the CTC (and through this, the Advisory Board) monitor, assess and evaluate the timeliness (T), appropriateness (A), quality (Q) and effectiveness (E) of the technical assistance process and it responses are shown in Figure 1 above. It should be noted that this is a continuous process that follows the flow of each individual response provided by the CTCN through the eligibility & prioritization, design, implementation and the monitoring, evaluation & learning stages of the technical assistance process.

Verification of Timeliness

Timeliness is captured and monitored on an on-going basis through the CTCN's web-based automated technical assistance functionality (referred to internally as the 'Technical Assistance Dashboard') with a 'timeliness traffic light system' (see section 4). In addition, Timeliness will be captured during the implementation of the response plan through the NDE and CTC confirmation that the response plan delivery dates/milestones have been adhered to and all parties agreeing to the proposed milestones and delivery date within the response plan at time of the approval of the response plan. The 'timeliness traffic light system' has a colour coding to indicate whether technical assistance planning and implementation is on schedule (green), behind (red) or at risk to get behind (orange).

Verification of Appropriateness, Quality and Effectiveness

Stage of Technical Assistance		Verification	Confirmation
1. Decide eligibility and prioritisation		**Eligibility, prioritization and balancing criteria** Tool used: CTCN Request Review Template	✓ **CTCN Director**
2. Design Response Plan	A) Form the Design Team	**Appropriateness, quality and effectiveness** Tool used: Criteria for selecting Response Planning Team members Indicators: • Relevant technical expertise • Experience/ engagement in national context • Relevant language capacity • Response Planning track record • Representative use of CPs in Response Planning	✓ **CTCN Director**
	B) Design the Plan	**Appropriateness; quality; effectiveness** Tool used: Technical Assistance Response Plan Indicators: • Impacts related to climate change • Impact on SDGs • Stakeholder engagement • Synergies with existing projects • Gender considerations/ co-benefits • NDE feedback questions	✓ **CTCN Director** ✓ **NDE**

3. Implement Response Plan	A) Form the Implementation Team	**Appropriateness, quality and effectiveness** Tools used: Criteria for selecting TA implementation partners from Consortium; Procurement procedure (managed by UNIDO) for selecting implementation partners from Network based on competitive bidding evaluation criteria Indicators: • Experience related to technical assistance • Expertise • Adequacy of proposal • Local context and experience • Personnel qualifications	✓ **CTCN Director**
	B) Implement the Response Plan	**Appropriateness, quality and effectiveness** Tools used: CTCN Technical Assistance Response Plan template; Implementation Plan template Indicators: • Activities • Outputs • Milestones/ Deliverables • NDE feedback questions	✓ **CTCN Director** ✓ **NDE**
4. Monitoring, Evaluation and Learning	A) Learn and Share	**Appropriateness** Tool used: NDE feedback Indicators: • Activities • Output/ Deliverables • NDE feedback questions	✓ **NDE**
	B) Monitor and evaluate	**Appropriateness, quality and effectiveness** Tool used: CTCN Technical Assistance Response Plan template; NDE Response Evaluation form; Impact Monitoring Plan and Report Indicators: • Targets/ Milestones • Quantitative data • Qualitative data • NDE feedback questions	✓ **Director** ✓ **NDE**

Periodic Assessment of CTCN TA Process and Procedures

In addition to the ongoing M&E of the TA process and its responses (as described above), a periodic assessment of the overall TA Process and Procedures shall be performed (see Annex 3). This assessment will be undertaken on a 6 monthly basis with additional assessment(s) being subject to the status and proper functioning of the TA Process and Procedures and any requirement for further action and correction.

The assessments will determine whether and to what extent the TA Process and Procedures is able to provide timely and appropriate responses to eligible requests from Parties with the right level of quality and effectiveness to provide for impact and sustainability. Such assessments will be based on bi-annual statistics derived from the system via the KMS (see Annex 4) for individual technical assistance request-responses.

4. Corrective Actions

As described in section 3, the Technical Assistance dashboard functionality enables up-to-date information on the status of all the responses to the Technical Assistance requests to be provided and visualised (it also provides for up-to-date information on wider related wider functions and activities of the CTCN, i.e. collaboration, private sector engagement and networking and capacity building and knowledge development). The Technical Assistance Dashboard' will facilitate this process by calculating and displaying due dates with a traffic light coding that corresponds to: request acknowledgement, request appraisal, response planning team notification, response plan and the response plan agreement.

The Technical Assistance Dashboard will alert the responsible CTCN staff member(s) of a possible issue to allow actions to be taken as appropriate. Such actions shall be recorded within the KMS to allow further assessment as part of the periodic assessment of the CTCN TA Process and Procedures (as described above in section 3) and the affected parties shall be informed of the actions undertaken by the CTCN. Actions could include among others the following:

- Provision of additional resources or re-allocation of response dossiers within CTC;
- Reallocation of responsibilities to other Consortium Partner and/or Network Members;
- Response dossier put on hold pending further follow up by the appropriate NDE.

Furthermore, the NDEs are requested to provide feedback following the response's implementation on *inter alia* the timeliness, appropriateness, quality and effectiveness of the response. This feedback is captured through a Response Evaluation Form and a Reponses Impact Monitoring Plan (see Annex 2). This feedback will be captured and recorded within each respective KMS response dossier and it will be assessed by the Climate Technology Manager/ CTCN Director prior to any approval being given.

In the event that the NDE indicates that the CTCN response has not performed in line with expectations (e.g. NDE control question answered with "No" or "Strongly disagree", etc.) the KMS functionality will flag this for immediate follow up by the respective Climate Technology Manager. The respective actions consequently agreed upon will be logged within the KMS for further assessment as part of the periodic assessment of the CTCN TA Process and Procedures.

5. References documents

The collection of indicators needed for the Monitoring and Evaluation and its reporting will originate from the usage of the process, procedures and tools listed below.

- Technical Assistance Process and Procedures (AB/2015/6/7.1)
- Technical Assistance Request Submission Form (EN,FR;SP)
- Request Review Template
- Criteria for selecting Response Planning Team members
- Criteria for selecting technical assistance implementers from Consortium
- UNIDO Procurement procedure for selecting technical assistance implementers from Network
- Qualifications requirements and evaluation criteria for restricted competitive bidding from within the Network
- Technical Assistance Response Plan template
- Impact Monitoring Plan template
- Implementation Plan template
- NDE Feedback on Technical Assistance