



U.S. Department Of State

Federal Assistance Award Coversheet

1. Assistance Type Grant	
2. Award Number S-LMAQM-13-GR-1247	
3. Amendment Number	4. Amendment Type

5. Recipient Name, Address and Contact Information
 United Nations Environment Programme (UNEP)
 15 Rue de Milan
 Paris,
 FRANCE
 Ph. +33 1 44 37 46 99
 Contact: Manfredi Caltagirone

6. Project Period From: 09/18/2013 Through: 09/30/2014	
7. Funding Period From: 09/18/2013 Through: 09/30/2014	
8. Program CFDA Number 19.017	

9. Recipient Federal Tax I.D./DUNS Number
 DUNS: 366484368
 EIN: 1900216051A5

10. Type of Recipient
 Public International Organization (PIO)

11. Award Title
 Climate Technology Centre and Network ("the CTCN")

12. Purpose
 This grant to CTCN will stimulate technology cooperation to enhance the development and the transfer of technologies, to aid developing country Partner capacity to identify technology needs, facilitate the preparation and implementation of technology projects and strategies, support action on mitigation and adaptation and enhance low emissions and climate-resilient development.

13. Issued By Office of Acquisition Management
 1701 N. Ft. Meyer Drive Berkley Building
 Arlington, VA 22209
 UNITED STATES

14. Funds Certified By
 Ms. Rosa Rojas-Cinnamon
 09/18/2013

15. Statutory Authority - Authorization
 FAA (Foreign Assistance Act)

16. Agreement:
 The recipient agrees to execute the work in accordance with the Notice of Award, the approved application incorporated herein by reference or as attached, and the applicable rules checked below and any subsequent revisions.
 Approved Application Attached
 Award is not subject to OMB Circulars

17. Statutory Authority - Appropriation
 Economic Support Funds

18. Funding Distribution			
	Total Prior Costs	Total New Costs	Amended Total Costs
U.S. Share of Costs	\$0.00	\$460,000.00	\$460,000.00
Recipient Share of Costs	\$0.00	\$0.00	\$0.00
Total Costs	\$0.00	\$460,000.00	\$460,000.00

19. Recipient Name, Title and Signature
 Mr. Mark Radka
 Name
 Electronically Signed
 Signature
 Chief, Energy Branch - Div of Technology 09/20/2013
 Title Date

20. Grants Officer Name, Title and Signature
 Jones, Barbara
 Name
 Electronically Signed
 Signature
 Grants Management Officer 09/18/2013
 Title Date

21. Accounting and Appropriation Data
 19722310370015,2012,2013,1008,4121,,,,,024900,,2013FDSTRIE6715,10083EGC20
 Amount
 \$460,000.00

22. Send Requests for Reimbursement to:
 See Award Specifics Data Element 4 for payment information

23. By signing this agreement, the recipient assures that it will comply with the terms and conditions of this award. Recipient is required to sign and return this document within 10 business days of the signature of the Grants Officer to the Grants Office listed in Section 13.

Terms and Conditions attached: Yes No

AWARD ATTACHMENTS

United Nations Environment Programme (UNEP)

S-LMAQM-13-GR-1247

1. Roles and Responsibilities
2. Award and PIO Specifics
3. Scope of Work
4. Budget
5. Approved Application
6. GOR Designation letter

Department of State Roles and Responsibilities Points of Contact (POC)

The Bureau of Administration, Office of Logistics Management, Office of Acquisitions Management (A/LM/AQM)

1. Grants Officer (GO)

The Grants Officer is the only person authorized to approve a payment, award, amend, and terminate a federal assistance award. The recipient must contact the GO to request changes to the federal assistance award, terms and conditions including an extension, budget changes, etc. The GO's name, email and telephone number are:

Barbara L. Jones
A/LM/AQM/IP
+962-6-590-6220
E-mail: JonesBL2@state.gov

The Bureau of Oceans and International Environmental and Scientific Affairs (OES)

2. Grants Officer Representative (GOR)

The Grants Officer Representative (can also be the Project Officer) is the person with the technical expertise related to program implementation and who is designated, in writing (**see attached GOR letter**), by the GO to administer certain aspects of a specific federal assistance award. The GOR is not authorized to approve or deny any request to amend the award. The GOR's name, email, and telephone number are:

Nancy L. Ahson
OES/EGC
Telephone: (202) 647-6896
E-mail: AhsonNL@state.gov

3. Program Officer (PO)

The Program Officer (can also be the GOR) is responsible for the programmatic and/or technical aspects of the pre-award cycle. The PO's name, email and telephone number are:

Emma Kelsey
OES/EX/CPU
Telephone: (202) 736-7194
E-mail: KelseyEE@state.gov

See Department's Recipient Guidebook pages 4-8 for Roles and Responsibilities
http://fa.statebuy.state.gov/content/Documents/Recipient_Guidebook_Oct2011.pdf

The above roles are subject to change at any time without necessitating an amendment to the award by US Department of State. Recipients will be notified of any changes via the Grant Solutions System or by email if award is not in Grant Solutions.



U.S. Department of State Award Specifics for PIOs

Below are the Award Specifics that accompany the Department of State (DOS) federal assistance awards to Public International Organizations (PIOs).

A DOS Notice of Award consists of the following three *mandatory* components:

- DS-1909 Federal Assistance Award Coversheet
- Award Specifics for PIOs (data elements below)
- PIO Specifics

DATA ELEMENTS:

1. Standardized Assistance Instrument Identification Number:
S-LMAQM-13-GR-1247
2. Amount of Award: \$ 460,000
3. Purpose/Scope of Award: This grant to CTCN will stimulate technology cooperation to enhance the development and the transfer of technologies, to aid developing country Partner capacity to identify technology needs, facilitate the preparation and implementation of technology projects and strategies, support action on mitigation and adaptation and enhance low emissions and climate-resilient development.
4. Payment Method:

Payments under this award will be made through the U.S. Department of Health and Human Services Payment Management System (PMS). The Payment Management System instructions are available under the PMS website and can be accessed at the following address:

<http://www.dpm.psc.gov/>. Recipients should request funds based on

immediate disbursement requirements and disburse funds as soon as possible to minimize the Federal cash on hand in accordance with the policies established by the U.S. Treasury Department and mandated by the OMB Circulars.

5. Post-Award Compliance:

PIO Specifics are the Department of State Terms and Conditions for Public International Organizations (PIOs). PIO Specifics are included in full text and made part of this Notice of Award.

The Recipient and any sub-recipient, in addition to the assurances and certifications made part of the Notice of Award, must comply with all applicable terms and conditions for PIOs during the award/project period, and must ensure that funds are used for activities consistent with the purposes for which they were appropriated.

6. Authorized Budget

Budget Categories	Amount
1. Personnel	-
2. Fringe Benefits	-
3. Travel	-
4. Equipment	-
5. Supplies	-
6. Contractual	407,080
7. Construction	-
8. Other Direct Costs	
9. Total Direct Costs (lines 1-8)	407,080
10. Indirect Costs (<i>fixed rates: 13% on Secretariat</i>)	52,920
11. Total Costs (lines 9-10)	460,000
12. Cost-Sharing	-

See attached detailed budget



U.S. Department of State PIO Specifics

DATA ELEMENTS:

The following standard provisions (data elements) are required for all awards to PIOs.

1. Grants Officer (GO): see Roles and Responsibilities
2. Grants Officer Representative (GOR): See Roles and Responsibilities
3. Implementation of the Program: see attached Scope of Work
4. Allowable Costs
 - a. The Recipient will be reimbursed for costs incurred in carrying out the purposes of this award, which are reasonable, allocable, and allowable.
 - (1) “Reasonable” means those costs that do not exceed those that would ordinarily be incurred by a prudent person in the conduct of normal business.
 - (2) “Allocable” means those costs that are necessary to this award.
 - (3) “Allowable” means those costs that are reasonable and allocable, and that conform to any limitations set forth in this award.
 - b. The Recipient is encouraged to obtain the Grants Officer's written determination as to whether the cost will be allowable before incurring a questionable or unique cost.

5. Award/Project Period

The award/project period shall be from **September 18, 2013 through September 30, 2014**. All expenditures paid with funds provided by this award must be incurred for authorized activities that take place during this period unless otherwise stipulated. In the event the time prescribed herein should prove insufficient for the Recipient to carry out the program provided for herein, the Grants Officer may provide such extension of the period of the award as may be deemed advisable. Any extension will be effective only upon the execution of an amendment to the Award for this purpose. All requests for extensions must be received in writing at least ten days prior to the expiration date.

6. Amendment

- a. This document constitutes the entire agreement between the parties. No amendment changing its scope or terms shall have any force or effect unless it is in writing and signed by the Grants Officer for the Department of State and a duly authorized representative for the Recipient.
- b. The Recipient must inform the Grants Officer in writing of the name of its representative authorized to administer the award, and bind the Recipient.

7. Non-Liability

The DOS does not assume liability for any third party claims for damages arising out of this award.

8. Notices

Any notice given by DOS or the Recipient will be sufficient only if in writing and delivered in person, mailed, or transmitted electronically by e-mail or fax, as follows:

- To the DOS Grants Officer and/or Grants Officer Representative, at the address specified in the Notice of Award.
- To Recipient, at the address shown in the award or such other address designated within the Notice of Award.

Notices will be effective when delivered in accordance with this provision, or on the effective date of the notice, whichever is later.

9. Refunds

- a. If the Recipient earns interest on Federal advances before expending the funds for program purposes, the Recipient must remit the interest annually to DOS through the same way as paid. Interest amounts up to \$250 per year may be retained by the Recipient for administrative expenses.
- b. Funds obligated by DOS but not disbursed to the Recipient before the award expires or is terminated will revert to DOS, except for funds committed by the Recipient to a legally binding transaction applicable to this award. Any funds advanced to but not expended by the Recipient before the time of expiration or termination of the award must be refunded to DOS, except for funds committed by the Recipient to a legally binding transaction applicable to this award.
- c. If, at any time during the life of the award, or as a result of final audit, it is determined that DOS funds provided under this award have been expended for purposes not in accordance with the terms of this award, the Recipient must refund such amount to DOS.

10. Revision of Award Budget

- a. The approved award budget is the financial expression of the Recipient's program as approved during the award process.
- b. The Recipient must immediately request approval from the Grants Officer when there is reason to believe that within the next 30 calendar days a revision of the approved award budget will be necessary for any of the following reasons:
 - (1) To change the scope or the objectives of the program or to add any new activity.
 - (2) To revise the funding allocated among program objectives by more than 10 percent of the total budget amount.

- (3) Additional funding is required to complete project goals and objectives.
 - (4) The Recipient expects the amount of DOS authorized funds to exceed its needs by more than \$5,000 or five percent of the DOS award, whichever is greater.
- c. Except as required by other provisions of this award specifically stated to be an exception from this provision, DOS will not be obligated to reimburse the Recipient for costs incurred in excess of the total amount obligated under the award. The Recipient will not be obligated to continue performance under the award (including actions under the "Termination Procedures" provision) or otherwise to incur costs in excess of the amount obligated under the award, unless and until the Grants Officer notifies the Recipient in writing that such obligated amount has been increased and specifies the new award total amount.

11. Termination Procedures

This award may be terminated by either party, in whole or in part, at any time with 30 days written notice of termination. Upon receiving a termination notice from the Grants Officer, the Recipient must take immediate action to cease all expenditures financed by this award and to cancel all un-liquidated obligations if possible. The Recipient may not enter into any additional obligations under this award after receiving the notice of termination, other than those reasonably necessary to effect the close out of this award. Except as provided below, no further reimbursement will be made after the effective date of termination. Within 30 days of the effective date of termination, the Recipient must repay to the government all unexpended DOS funds that are not otherwise obligated by a legally binding transaction applicable to this award. If the funds paid by DOS to the Recipient before the effective date of termination are not sufficient to cover the Recipient's obligations under a legally binding transaction, the Recipient may submit a written claim for such amount to DOS within 90 days after the effective date of termination. The Grants Officer will determine the amount(s) to be paid by the government to the Recipient under such claim in accordance with the "Allowable Costs" provision of this award.

12. Audit and Records

The agreement shall be subject exclusively to the internal and external auditing procedures provided for in the U.N. financial rules and regulations. Should an Audit Report of the Board of Auditors of UNEP contain observations relevant to the contributions, such information shall be made available to the Department of State.

13. Reporting and Evaluation:

Grantee is required to submit annual progress reports to Grantsolutions.gov, and to upload the quarterly financial reports that they submit in the Payment Management System to Grantsolutions.gov. Reports must be submitted promptly within 30 days following the end of the calendar year period (March 31st, June 30th, September 30th, and December 31st). Please note that if a grant's period of performance begins with more than 14 days remaining in reporting period, reports must be submitted for that period. Grantees should also submit progress and financial reports for any activities in the final quarter of the grant's period of performance in addition to the final report requirements detailed below.

Recipients must upload page 1 (signed and completed) of the SF-PPR (Performance and Progress Report) and the progress report as described below to Grantsolutions.gov. Recipients must also save a downloaded copy of the Federal Financial Report FFR- 425 (both the Financial Status report, and the Financial Cash Transaction report) which they submitted in the Payment Management System (PMS) and upload it to the Grants Notes section of Grantsolutions.gov. First, log into the Grant Solutions Account. Select the grant and then click on "Grants Notes" and select "Add" to create a new note. Now, enter " Subject" , "Note Type" , "Category Type" and "Notes"

- a. Enter Description of the Document (*i.e. PPR and Date*)
- b. Select "Browse" to locate file on your computer; once located select "Upload"
- c. Wait until the "Grey Status Bar" reads "Successful"
- d. Then select "Submit"

Annual progress reports should reflect the grantee's focus on measuring the project's impact on the overarching objectives or problems the project sets out to address and should be compiled according to the objectives, outcomes,

and outputs of the project as outlined in the grant's scope of work, the proposal, and any Monitoring and Evaluation Plans. An assessment of the overall project impact, as appropriate, should be included in each progress report. Progress reports should include, but not be limited to:

- Describe current status of the project and accomplishments relative to the project goals and/or objectives, to date. Discuss project progress relative to the activities and timeline identified in the agreement.
- Project Successes. Highlight any significant project successes, milestones or deliverables achieved.
- Provide data on performance indicators results achieved during the timeframe of this report. (Retain all records that support/document achievement of those indicators.)
- Identify any:
 - anticipated turnover in key staff;
 - the anticipated addition of any new subcontractor;
 - internal review and monitoring of the activity;
 - any technical needs from the Department of State
- A summative statement on whether the project is on schedule, ahead of schedule or behind schedule relative to the grant activities and timeline. And, identify any present or anticipated impediments to progress per the goals, objectives, outcomes and deliverables of this award.

The Federal Financial Report (FFR-425) is the required form for the financial reports. The Department of Health and Human Services' Payment Management System (PMS) requires that grantees submit electronic quarterly and final financial reports (FFR-425) via PMS. Recipients must also save a copy (download) of the FFR-425 reports they submitted in PMS and upload the report to Grantsolutions.gov.

A final FFR-425 financial report should also be submitted promptly and electronically within 90 days after the expiration date of the grant award. A final narrative progress report is also required to be submitted promptly within 90 days of the expiration date of the grant award. The final narrative report must include Page 1 of the SF-PPR form. This report should be an in-depth impact assessment and/or project evaluation. The project summary

should include quantitative and qualitative data relating to the project's objectives and overall project outputs and outcomes (e.g., impact).

Grantees that receive multiple grants must submit a separate set of reports for each grant.

OES reserves the right to request any additional programmatic and/or financial program information during the grant period.

14. Investment Promotion: N/A

15. Terrorist Financing

Consistent with numerous United Nations Security Council resolutions, including S/RES/1269 (1999), S/RES/1368 (2001), and S/RES/1373 (2001), both DOS and the Recipient are firmly committed to the international fight against terrorism, and in particular, against the financing of terrorism. It is the policy of DOS to seek to ensure that none of its funds are used, directly or indirectly, to provide support to individuals or entities associated with terrorism. In accordance with this policy, the Recipient undertakes to use reasonable efforts to ensure that none of the DOS funds provided under this award are used to provide support to individuals or entities associated with terrorism.

16. Publications and Media Releases

- a. Publications, media releases, or electronic or print material developed or produced by Recipient about the program funded and which identify the DOS's contribution must be approved by the GOR, with the Grant Officer's authorization, prior to release or publication.
- b. If it is the Recipient's intention to identify DOS's contribution to any publication, video or other information/media product resulting from this award, the product shall state that the views expressed by the author(s) do not necessarily reflect those of DOS. Acknowledgements should identify the sponsoring DOS office and bureau or mission as well as the following:

“This [publication, video or other information/media product (specify)] was made possible through support provided by the United States Department of State, under the terms of Award No. S-LMAQM-13-GR-1247. The opinions

expressed herein are those of the author(s) and do not necessarily reflect the views of the United States Department of State.”

c. The Recipient shall provide the project office or Grants Officer with one copy of all published works developed under this award and with lists of other written work produced under this award.

d. Except as otherwise provided in the terms and conditions of the award, the author or the Recipient is free to copyright any books, publications, or other copyrightable materials developed in the course of or under this award, but DOS reserves a royalty-free nonexclusive and irrevocable right to reproduce, publish, or otherwise use, and to authorize others to use the work for U. S. Government purposes.

17. Special Award Conditions:

A. SAM.gov/CCR Validation Bypassed

Due to technical difficulties, the Grant Officer has waived the SAM.gov/CCR Validation. The Recipient is still required to be registered in SAM prior to submitting requests for advancement or disbursement.

18. Additional PIO Specific Requirements:

Grantee Point of Contact:

Manfredi Caltagirone
Programme Officer, Energy Branch – Division on
Technology, Industry, and Economics
UNEP
15, Rue de Milan, Paris, France 75009
Manfredi.caltagirone@unep.org
+33 1 44 37 46 99

Grantee Signatory:

Mark Radka
Chief, Energy Branch – Division on Technology,
Industry, and Economics
UNEP
15, Rue de Milan, Paris, France 75009
mark.radka@unep.org
+33 1 44 37 14 27

Scope of Work

Through this Project, the State Department will be sponsoring a portfolio of CTCN activities for the first 1-2 years of operation that complement support from the EC and other donors. This would bolster efforts to facilitate a network of national, regional, sectoral and international technology networks, organizations and initiatives with a view to engaging the participants of the Network, by conducting activities such as:

- i. Facilitating the provision of information, training, and support for programs to build or strengthen capacity of developing countries to identify technology options, make technology choices and operate, maintain and adapt technology,
- ii. Facilitating prompt action on the deployment of existing technology on developing country Parties based on identified needs;
- iii. Facilitating a network of national, regional, sectoral and international technology centers, networks, organization and initiatives.

Other expected and necessary components of this grant award include: support training and guidance to Nationally Designated Entities, review of current country priorities and identification of links to other programs, and the launch of CTCN activities on two priority themes identified in UNFCCC COP decision 2.CP/16: providing information and services surrounding climate technology assessments and developing a database on available climate technologies.

Consistent with the required functions of the CTCN, as delineated in the relevant UNFCCC COP decisions, the State Department would provide support to UNEP to implement the following activities:

1. Training and Advisory Services for Nationally Designated Entities (NDEs).

Developing country NDEs will benefit from training and advisory services to improve their awareness of the types of services available from the CTCN and procedures for requesting assistance, on formulation of well defined and actionable requests, and on integration of CTCN requests with existing national development programs, TNAs, NAMAs, NAPAs, LEDS, and related processes. Capacity building and technical support for NDEs is essential to ensure that the CTCN receives high quality requests that are aligned with the unique CTCN roles, are tightly linked with existing national processes, will achieve high and sustained impact in advancing technology adaptation and diffusion, and that the services provided through the CTCN have political legitimacy within the UNFCCC. The State Department could support such NDE training and capacity building programs by the UNEP-led consortium during 2013/14, which could include regional or sub-regional training workshops and NDE advisory services to assist with development of appropriately targeted and formulated requests.

Developing country NDEs will receive training and advisory assistance to improve their:

1) awareness of the types of services available from the CTCN and procedures for requesting assistance; 2) ability to formulate well defined and actionable requests; and 3) knowledge on how to integrate CTCN requests with national development programmes, technology needs assessments (TNAs), nationally appropriate mitigation actions (NAMAs), national adaptation programs of action (NAPAs), low emission development strategies (LEDS), and related processes. UNEP will lead this task and NREL will provide technical support. Participation of more than 10 developing countries in each region from Africa, Asia and the Pacific, and Latin America and the Caribbean is anticipated.

2. Review of Developing Country Technology Priorities Defined in Current Country Plans and Current and Prospective Linkages of CTCN Support with LEDS and Other Programs

The State Department would support the UNEP consortium in conducting a review of priorities for assistance with deployment of adaptation and mitigation technologies defined in developing country TNAs, LEDS, NAMAs, NAPAs, national communications, and other national plans. This review would evaluate the extent to which these technology priorities are consistent across the documents and with the overall national climate change response programs established by the country (including their LEDS if applicable). The review would also identify opportunities for coordinated implementation of potential CTCN support for these priority technology activities with country led implementation and international support for LEDS and related national climate and development programs. In addition the review would serve as a basis for identifying the likely demand for services from countries to the CTCN to inform the design of the CTCN knowledge management system and initial services. The review could be conducted both at the global level to capture information across all countries and regions and at a more in-depth level for one or two regions, such as partnering with the ADB and others on a more detailed mapping for Asian countries.

3. Launch Support for Technology Assessment:

The COP-18 decision recommends to the CTCN Advisory Board that the CTCN work plan should address two priority functions in the near term:

providing advice and support to developing country Parties, including capacity-building, in relation to conducting assessments of new and emerging technologies;

Identifying currently available climate- friendly technologies for mitigation and adaptation that meet the key low-carbon and climate-resilient development needs of Parties. Under this project, the State Department would co-sponsor (along with co-funding from others) the development of these two functions. Both of these activities would complement the work that NREL and UNEP are initiating on design of the CTCN knowledge management system, building on the Clean Energy Solutions Center. Under UNEP oversight, NREL would work with other consortium partners to compile tools and resources to support country technology assessments and develop a team of experts to provide training to NDEs and ongoing guidance to them and other in-country officials and the design of these assessments. NREL would focus its work more on mitigation technology assessments and work with other consortium partners on adaptation technology assessments. This would be a first step toward more longer-term and in-depth assistance on technology assessments in 2014.

4. Develop Technology Data Base

Similarly, UNEP will lead the development of a data base on available mitigation and adaptation technologies. This would build on available global data sets on technology performance and costs and suppliers and seek to provide more detailed technology information on costs, availability, and performance for developing countries. Since much of this data is not readily available, the team would first design the data system and compile available data and then reach out to partners in developing countries including working with NDEs and through other forums such as the LEDS GP to find and add information for each country. The data base would be designed as linked open data to seamlessly tap into and share data with existing data systems (e.g. IEA, reegle, REN21, etc.) and as a living system with ongoing inputs from the international community. A moderator would also be available to help answer country questions about the data and interpreting and applying it.

The attached application/proposal for this grant including goals and objectives, activities, timeline, deliverables, outcomes, etc. is an integral part of this agreement and should be used by both parties to ensure proper implementation and improved monitoring.

Summary BUDGET

United Nations Environment Programme

Climate Technology Centre and Network

	Requested Federal OES
A Personnel	0.00
B Fringe Benefits	0.00
C Travel	0.00
D Equipment	0.00
E Supplies	0.00
F Contractual	407,079.65
G Construction	0.00
H Other Direct Costs	
I Total Direct charges	407,079.65
J Total Indirect costs	52,920.35
K Total Project Cost	460,000.00

LINE-ITEM BUDGET
 United Nations Environment Programme
 Climate Technology Centre and Network

	Unit Cost				Requested Federal OES Funds	
	Unit	Number	Amount	Rate		
A Personnel	months or years		salary (month or year)	% effort		
A.1	US-Based personnel					
A.2	Field Personnel					
Subtotal Personnel					0.00	
B Fringe Benefits						
B.1	US-Based Personnel Fringe Benefits					
B.2	Field Personnel Fringe Benefits					
Subtotal Fringe Benefits					0.00	
C Travel	# people	# days	Cost	% effort		
Subtotal Travel					0.00	
D Equipment (> \$5,000 per unit)		# units	unit cost			
D.1	(description, ie generators)					
D.2	(description)					
Subtotal Equipment					0.00	
E Supplies (< \$5,000 per unit)		# units	unit cost			
E.1	(description)					
Subtotal Supplies					0.00	
F Contractual (Consultant fees)						
F.1	Contractual Sub grantee #1 (NAME)					
F.1.1	Personnel					
	Consultants					88,500.00
F.1.2	Fringe Benefits (if applicable)					
F.1.3	Travel (if applicable)					
F.1.3.1	Airfare (from/to, one way/RT)					0.00
F.1.3.2	Per diem (Country/City)					0.00
F.1.4	all else that applies, expenses separately					
	Contracts for trainings, assessments and advisory services					318,579.65
Subtotal sub grantee #1 (NAME)					407,079.65	
Subtotal Contractual (all sub grantees)					407,079.65	
G Construction						
G.1	(description)					0.00
H Other Direct Costs						
H.1	All else that does not fall into above categories					
H.2	Insert indirect/overhead costs here if organization does not have a NICRA					
					0.00	
Subtotal Other Direct Costs					0.00	
I Total Direct Costs					407,079.65	
J Indirect Costs	Project Support costs for Secretariat (13%)				52,920.35	
K Total Project Cost	(must match award amount)				460,000.00	

Climate Technology Centre and Network

Technical proposal submitted to:

Office of Global Change, Bureau of Oceans and International Environmental and Scientific
Affairs U.S. Department of State

Date:

12 July 2013

Executive Summary

Title of project: Climate Technology Centre and Network (“the CTCN”)

Name and contact information for project’s primary point of contact:

Mark Radka
Chief, Energy Branch
Division of Technology, Industry & Economics
United Nations Environment Programme
15 Rue de Milan, 75441 Paris Cedex 09 - France
Telephone : +33 1 44 37 14 27

Targeted countries and population(s):

The measures proposed are relevant to developing countries in Africa, Asia, Europe, and Latin America and the Caribbean, and least developed countries in particular. With input from the UNEP-led consortium’s regional partners and based on requests to the CTCN, countries and regions may be identified for different aspects of the project based on specific country and regional needs.

Program length (dates/duration): August 2013 / August 2014

Total funding requested (indicate any sub-grants proposed): \$460,000

Project’s primary objectives and expected results: The mission of the Climate Technology Centre and Network (CTCN) is to stimulate technology cooperation and to enhance the development and transfer of technologies and to assist developing country Parties at their request, consistent with their respective capabilities and national circumstances and priorities, “to build or strengthen their capacity to identify technology needs, to facilitate the preparation and implementation of technology projects and strategies taking into account gender considerations to support action on mitigation and adaptation and enhance low emissions and climate-resilient development”.

Involvement or use of any NGO’s or civil society organizations:

The UNEP-led consortium that was selected by COP 18 to host the CTCN comprises 13 organizations, including the US National Renewable Energy Laboratory, UN Agencies, International organizations, and non-governmental entities located in both developed and developing countries.

One paragraph statement of work:

Consistent with COP decisions, the CTCN is to serve three main functions, namely:

- 1) Managing requests and responses in the technology cycle;
- 2) Fostering collaboration to accelerate technology transfer;
- 3) Strengthening networks, partnerships and capacity building for technology development and transfer, and fostering collaboration to accelerate technology transfer.

These core functions of the CTCN will be supported by broader outreach and awareness activities and a knowledge management system that enables learning and enhanced response quality over the life of the CTCN, reflecting the two other functions.

Proposal

A. Introduction and rationale of the proposal

There is substantiated scientific and empirical evidence that climate change is to be considered as one of the most pressing contemporary issues Society is facing. Addressing the challenges posed by a changing climate will require holistic, wide-ranging actions. Amongst other aspects, technology considerations are intrinsic to climate adaptation and mitigation strategies. Accelerating the deployment, diffusion and transfer of climate technologies represents a key pillar to enhance low emissions and climate-resilient development.

The issue of technology transfer has been a cornerstone of the United Nations Framework Convention on Climate Change (UNFCCC) since it was established. As a major step forward, the Technology Mechanism was established by the 16th session of the Conference of the Parties (COP) in Cancun in December 2010. The Technology Mechanism consists of a Technology Executive Committee and a Climate Technology Centre and Network (CTCN). At the 18th session of the COP, the UNEP-led consortium was selected to host the CTCN.

The mission of CTCN is to stimulate technology cooperation and to enhance the development and transfer of technologies and to assist developing country Parties at their request, consistent with their respective capabilities and national circumstances and priorities, *“to build or strengthen their capacity to identify technology needs, to facilitate the preparation and implementation of technology projects and strategies taking into account gender considerations to support action on mitigation and adaptation and enhance low emissions and climate-resilient development”*.

Consistent with COP decisions, the CTCN is to serve three main functions, namely:

- 1) Managing requests and responses in the technology cycle;
- 2) Fostering collaboration to accelerate technology transfer;
- 3) Strengthening networks, partnerships and capacity building for technology development and transfer, and fostering collaboration to accelerate technology transfer.

These core functions of the CTCN will be supported by broader outreach and awareness activities and a knowledge management system that enables learning and enhanced response quality over the life of the CTCN, reflecting the two other functions.

B. Project Goals, Objectives and Expected results highlighting any aspects of innovation, sustainability and impact of the project

Through this Project, the State Department will be sponsoring a portfolio of CTCN activities for the first 1-2 years of operation that complement support from the EC and other donors. This would bolster efforts to facilitate a network of national, regional, sectoral and international technology networks, organizations and initiatives with a view to engaging the participants of the Network, by conducting activities such as:

- i. Facilitating the provision of information, training, and support for programs to build or strengthen capacity of developing countries to identify technology options, make technology choices and operate, maintain and adapt technology,
- ii. Facilitating prompt action on the deployment of existing technology on developing country Parties based on identified needs;

- iii. Facilitating a network of national, regional, sectoral and international technology centers, networks, organization and initiatives.

Other expected and necessary components of this grant award include: support training and guidance to Nationally Designated Entities, review of current country priorities and identification of links to other programs, and the launch of CTCN activities on two priority themes identified in UNFCCC COP decision 2.CP/16: providing information and services surrounding climate technology assessments and developing a database on available climate technologies.

C. Implementation Strategy

Consistent with the required functions of the CTCN, as delineated in the relevant UNFCCC COP decisions, the State Department would provide support to UNEP to implement the following activities:

1. Training and Advisory Services for Nationally Designated Entities (NDEs).

Developing country NDEs will benefit from training and advisory services to improve their awareness of the types of services available from the CTCN and procedures for requesting assistance, on formulation of well defined and actionable requests, and on integration of CTCN requests with existing national development programs, TNAs, NAMAs, NAPAs, LEDS, and related processes. Capacity building and technical support for NDEs is essential to ensure that the CTCN receives high quality requests that are aligned with the unique CTCN roles, are tightly linked with existing national processes, will achieve high and sustained impact in advancing technology adaptation and diffusion, and that the services provided through the CTCN have political legitimacy within the UNFCCC. The State Department could support such NDE training and capacity building programs by the UNEP-led consortium during 2013/14, which could include regional or sub-regional training workshops and NDE advisory services to assist with development of appropriately targeted and formulated requests.

Developing country NDEs will receive training and advisory assistance to improve their: 1) awareness of the types of services available from the CTCN and procedures for requesting assistance; 2) ability to formulate well defined and actionable requests; and 3) knowledge on how to integrate CTCN requests with national development programmes, technology needs assessments (TNAs), nationally appropriate mitigation actions (NAMAs), national adaptation programs of action (NAPAs), low emission development strategies (LEDS), and related processes. UNEP will lead this task and NREL will provide technical support. Participation of more than 10 developing countries in each region from Africa, Asia and the Pacific, and Latin America and the Caribbean is anticipated.

Deliverables & Milestones	Completion Date
UNEP coordinates drafting of curriculum based on inputs from NREL and other Consortium Partners	Month 3
UNEP identifies and conduct outreach to reviewers; Refinement of NREL and ther consortium partners inputs to curriculum based on review	Month 4
UNEP delivers training presentations and coordinates delivery of	Month 7-12

presentations by other Consortium Partners at regional training events in locations that are to be determined in Africa, Asia, and Latin America	
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2. **Review of Developing Country Technology Priorities Defined in Current Country Plans and Current and Prospective Linkages of CTCN Support with LEDS and Other Programs**

The State Department would support the UNEP consortium in conducting a review of priorities for assistance with deployment of adaptation and mitigation technologies defined in developing country TNAs, LEDS, NAMAs, NAPAs, national communications, and other national plans. This review would evaluate the extent to which these technology priorities are consistent across the documents and with the overall national climate change response programs established by the country (including their LEDS if applicable). The review would also identify opportunities for coordinated implementation of potential CTCN support for these priority technology activities with country led implementation and international support for LEDS and related national climate and development programs. In addition the review would serve as a basis for identifying the likely demand for services from countries to the CTCN to inform the design of the CTCN knowledge management system and initial services. The review could be conducted both at the global level to capture information across all countries and regions and at a more in-depth level for one or two regions, such as partnering with the ADB and others on a more detailed mapping for Asian countries.

Deliverables & Milestones	Completion Date
Outline and identification of key resources to include in review developed	Month 2
Analysis of climate technology priorities drafted	Month 4
Final review of climate technology priorities completed	Month 5

3. **Launch Support for Technology Assessment**

The COP-18 decision recommends to the CTCN Advisory Board that the CTCN work plan should address two priority functions in the near term:

- providing advice and support to developing country Parties, including capacity-building, in relation to conducting assessments of new and emerging technologies
- Identifying currently available climate- friendly technologies for mitigation and adaptation that meet the key low-carbon and climate-resilient development needs of Parties. Under this project, the State Department would co-sponsor (along with co-funding from others) the development of these two functions. Both of these activities would complement the work that NREL and UNEP are initiating on design of the CTCN knowledge management system, building on the Clean Energy Solutions Center. Under UNEP oversight, NREL would work with other consortium partners to compile tools and resources to support country technology assessments and develop a team of experts to provide training to NDEs and ongoing guidance to them and other in-country officials

and the design of these assessments. NREL would focus its work more on mitigation technology assessments and work with other consortium partners on adaptation technology assessments. This would be a first step toward more longer-term and in-depth assistance on technology assessments in 2014.

Deliverables & Milestones	Completion date
Technology assessment toolkit plan developed, including scoping which types of resources are to be included, identifying key sources for data resources, and planning for collecting and hosting the resources	Month 2
Draft plan shared with consortium and revised	Month 3
Initial technology assessment toolkit drafted	Month 5
Final technology assessment toolkit developed	Month 6
Recommendations for experts provided to UNEP	Month 6
NREL experts (and CESC and LEDS GP partners where appropriate) engage in delivery of technical assistance and training on technology assessment	Month 9

4. **Develop Technology Data Base**

Similarly, UNEP will lead the development of a data base on available mitigation and adaptation technologies. This would build on available global data sets on technology performance and costs and suppliers and seek to provide more detailed technology information on costs, availability, and performance for developing countries. Since much of this data is not readily available, the team would first design the data system and compile available data and then reach out to partners in developing countries including working with NDEs and through other forums such as the LEDS GP to find and add information for each country. The data base would be designed as linked open data to seamlessly tap into and share data with existing data systems (e.g. IEA, reegle, REN21, etc.) and as a living system with ongoing inputs from the international community. A moderator would also be available to help answer country questions about the data and interpreting and applying it.

Deliverables & Milestones	Completion Date
NREL support to UNEP for user consultations to define KMS priorities completed	Month 2
Concept of database and corresponding KMS feature drafted	Month 2
Draft design shared with Consortium and others	Month 3
Database populated with existing data	Month 5
Version 1.0 of database launched	Month 6
Consultations on version 1 completed, including outreach to key communities (e.g., LEDS GP); data base revised; additional data added	Month 8
Version 2.0 launched	Month 8

Socio-economic Contribution, including Gender and Poverty Alleviation

There is increasing concern that climate change will disproportionately impact the poor, notably women and children. Effective and timely action on climate change can reduce its negative impacts on development goals. This is because long-term, informed planning can result in more cost effective climate change mitigation and adaptation policies, which have the potential to reinforce related development policies, notably poverty alleviation and gender equity goals. The proposed response makes an indirect contribution to alleviating poverty and promoting gender equity by fostering a more integrated approach to policy planning that will generate significant socio-economic benefits and that emphasizes expanded access to cleaner energy and hence the services it makes available. The projects that result from proposed responses to country requests are expected to eventually benefit the poor, women and children, being the groups that are disproportionately impacted by climate change.

The manner of operation of the CTCN itself will have a more direct impact on gender equality since it will be operated in accordance with integrity, transparency, fiduciary and ethical standards consistent with the principles of the United Nations and will take into account social equity, equality and gender considerations when facilitating the preparation and implementation of technology projects and strategies. Subject to the approval of the Advisory Board of the CTCN, the procurement process of the CTC will include social equity, equality and gender considerations when selecting subcontractors.

D. Key personnel and their roles and responsibilities

Mark Radka, Chief, Energy Branch, United Nations Environment Programme, Division of Technology, Industry & Economics. Interim Director of the CTCN. Responsible for strategic coordination of the CTC.

Zitouni Ould-Dada, Head, Technology Unit, United Nations Environment Programme, Division of Technology, Industry & Economics. Responsible for overseeing political processes, including relations with the Advisory Board, SBI/SBSTA, COP, GEF, TEC.

Jonathan Duwyn, Programme Officer, United Nations Environment Programme, Division of Technology, Industry & Economics. Project Coordinator, responsible for managing relations with stakeholders in developing countries.

Manfredi Caltagirone, Programme Officer, United Nations Environment Programme, Division of Technology, Industry & Economics. Project Coordinator, responsible for knowledge management, legal affairs and operations.

E. Countries of implementation, engagement or benefitting from this grant activity

The measures proposed are relevant to developing countries in Africa, Asia, Europe, and Latin America and the Caribbean, and least developed countries in particular. With input from the UNEP-led consortium's regional partners and based on requests to the CTCN, countries and regions may be identified for different aspects of the project based on specific country and regional needs. UNEP is aware of the geographical limitation attached to this grant and won't utilize the funding provided by this grant to finance activities in countries included in restricted countries.

F. Timeline (start/end date) and dates anticipated for the accomplishment of key tasks:

This timeline reflects the period for ongoing activities of the Climate Technology Centre. Specific meetings, and other deliverables will be identified in future reports and initiative project proposals under these broad categories.

Activity, Deliverable, Milestone	M1	M2	M3	M4	M5	M6	M7	M8	M9	M10	M11	M12
NDE Training												
UNEP coordinates drafting of curriculum based on inputs from NREL			x									
UNEP identifies and conduct outreach to reviewers; Refinement of NREL inputs to curriculum based on review				x								
UNEP delivers training presentations and coordinates delivery of presentations by other Consortium Partners at regional training events in locations that are to be determined in Africa, Asia, and Latin America							x	x	x	x	x	x
Technology Priorities and Integration Review												
Outline and identification of key resources to include in review developed		x										
Analysis of climate technology priorities drafted				x								
Final review of climate technology priorities					x							
Launch Support for Technology Assessment												
Technology assessment toolkit plan developed, including scoping which types of resources are to be included, identifying key sources for data resources, and planning for collecting and hosting the resources		x										
Draft plan shared with consortium and revised			x									
Initial technology assessment toolkit drafted					x							
Final technology assessment toolkit developed						x						

Recommendations for experts provided to UNEP						X						
NREL experts (and CESC and LEDS GP partners where appropriate) engage in delivery of technical assistance and training on technology assessment									X			
Develop Technology Data Base												
NREL support to UNEP for user consultations to define KMS priorities completed		X										
Concept of database and corresponding KMS feature drafted		X										
Draft design shared with Consortium and others			X									
Database populated with existing data					X							
Version 1.0 of database launched						X						
Consultations on version 1 completed, including outreach to key communities (e.g., LEDS GP); data base revised; additional data added								X				
Version 2.0 launched									X			

Monitoring and Evaluation Statement

The ultimate success of the Programme will be improvements in climate mitigation and resilience. The success proxy at Programme level is the broad based and accelerated transfer and scaled-up deployment of priority adaptation and mitigation technologies in developing countries. Review and reporting for the CTCN is also prescribed by COP decisions. To avoid unnecessary duplications, all efforts will be made to align monitoring, reporting and evaluation under this Project with the prescribed reporting needs to the Advisory Board and the COP. Mechanisms will be developed to differentiate between direct CTCN activities and other spin-off activities. This will allow for a rigorous monitoring and reporting framework.

The CTCN is required to provide an annual report on its activities and those of the Network and on the performance of their respective functions. The report ought to contain all the information necessary to meet the principles of accountability and transparency required by the Convention and shall also include information on requests received and activities carried out by the Climate Technology Centre and Network, information on efficiency and effectiveness in responding to these requests, and information on ongoing work as well as lessons learned and best practices gained from that work.

Monitoring

The Programme management will endeavour to establish a culture and practice of monitoring CTCN activities to demonstrate achievements in a transparent and accountable manner, as well as to facilitate knowledge capture and adaptive management.

A mechanism will be created by the CTC to trace and monitor requests for technical assistance from NDEs with the objective to provide and update performance data on a regular basis. In practical terms, the Climate Technology Managers will collect updated data for input to the knowledge management system. The Programme management will undertake an annual comprehensive review of the monitoring program, using consolidated and up-to-date performance data. This information will also be used to report to the COP via the Advisory Board.

Reporting

The Programme management will prepare annual management reports on the Programme implementation. The management reports will summarise the main project activities by output at the global level. The management reports are for internal use by the Programme's key stakeholders to support the effective and adaptive management of Programme delivery and ensure efficient use of available resources, in a transparent and accountable manner. The essence of such report will also be used for the joint annual report to the COP to be prepared with the Technology Executive Committee by the end of each year.

All Partners of the CTC will, at the request of the CTC Director, provide input for the annual report to the COP which the CTC ought to submit jointly with the TEC (Technology Mechanism reporting). The Director of the CTC will include the activities earmarked as CTC activities only if the activity itself has been - previously to its implementation - approved by the CTC Director as being part of the CTC Program of Work, and aligned to its objectives and priorities.

Evaluation

It is foreseen that UNFCCC will commission an independent evaluation during year 4 of operation of the CTCN. This evaluation will be undertaken in line with general policy of the partner UN Agencies. A full-fledged independent final evaluation will also be made at the closure of the Programme. Both evaluations will be executed under the direct auspices of the respective evaluation and oversight units of the UN partner agencies, and where appropriate, involve representatives from key programme donors.

These programme level evaluations will be complemented by evaluations focusing on specific aspects, based on the donors' respective requirements. All efforts will be made to avoid duplicating evaluation efforts, and to seek synergies where appropriate.

The findings of the review, including any recommendations for enhancing the performance of the Climate Technology Centre and Network, will be considered by the Conference of the Parties. Subsequently, periodic independent reviews of the effectiveness of the Climate Technology Centre and Network will be conducted every four years.

Project monitoring will be conducted periodically and at the end of the grant period. Data collection and processing of key documents will be undertaken to monitor progress made against each indicator.

INDICATORS:

4.8.2-6	Person hours of training completed in technology transfer supported by USG assistance reported by number of men and number of women (Means of verification: Information collected by CTCN team at regional consultations/training/workshop and via electronic surveys) <u>Estimate of the target outcome: 1500 hours</u>
4.8.2-10	Amount of investment leveraged in U.S. dollars, from private and public sources, for climate change as a result of USG assistance – disaggregated by -Clean energy public sector investments and/or Clean energy private sector Investments – <u>Estimate of the target outcome: \$500,000</u> -Adaptation public sector investments and/or Adaptation private sector Investments – <u>Estimate of the target outcome: \$250,000</u> -Sustainable Landscapes (including REDD+) public sector investments and/or Sustainable landscapes private sector investments (Means of verification: Information collected by CTCN team and included in the CTCN report to the COP) – <u>Estimate of the target outcome: \$250,000</u>
4.8.2-14	Number of institutions supported by UNEP and Consortium partners with improved capacity to address climate change issues as a result of USG assistance – <u>Estimate of the target outcome: 75 NDEs in developing countries</u> (Means of verification: Information collected by CTCN team including through Knowledge Management System)
4.8.2-26	Number of stakeholders with increased capacity to adapt to the impacts of climate variability and change as a result of USG assistance – disaggregated by: -Implementing risk-reducing practices/actions to improve resilience to climate change (disaggregated by men & women) – <u>Estimate of the target outcome 50.</u> -Using climate information in their decision making (disaggregated by men & women) – <u>Estimate of the target outcome: 50.</u>

	(Means of verification: Monitoring and evaluation of CTCN responses to requests from developing country parties)
4.8.2-27	Number of days of USG funded technical assistance in climate change provided to counterparts or stakeholders (Means of verification: Information collected by CTCN team and included in the CTCN report to the COP) – <u>Estimate of the target outcome: 70 days.</u>
4.8.2-7	Quantity of greenhouse gas (GHG) emissions, measured in metric tons of CO2e, reduced or sequestered as a result of USG (Means of verification: Information collected by CTCN on responses to requests from developing country parties, results measured by external or internal evaluations using appropriate methodologies.) – <u>Estimate of the target outcome: it is difficult to say with any precision what the GHG reductions will be. The CTCN is required to respond to country requests that meet certain eligibility criteria, and the exact reductions realized will depend on the specific requests and support provided. Based on our experience, we estimate that requests of the sort we expect to receive will enable investments, policies, and measures that in the subsequent 10 years could result in avoided emissions of 1M metric ton per request. If half of the requests that will be refined using the USG grant lie in the mitigation area the avoided emissions might amount to 3M metric tons.</u>
EGC.01	Number of persons with access to electronic or web based climate technologies information or resources as a result of USG assistance (Means of verification: Web statistics from CTCN website and Knowledge Management System) – <u>Estimate of the target outcome: 500 stakeholder in developing countries.</u>
EGC.02	Number of person hours spent accessing electronic or web based climate technologies information or resources as a result of USG assistance (Means of verification: Web statistics from CTCN website and Knowledge Management System) – <u>Estimate of the target outcome: 1000 hours.</u>

BUDGET

Item	Amount (USD)
Consultants	88,500
Sub-contracts	318,580
PSC (13%)	52,920
Total	460,000

Budget – UNEP CTCN Grant

Item	Quantity		Unit cost (USD)	Total expenditure
<i>Contract for Training, Assessments and Advisory Services for Nationally Designated Entities (NDEs)</i>				
<i>Activity 1 - Training and Advisory Services for Nationally Designated Entities (NDEs)</i>				
Advisory services to assist NDEs refining requests	7	request	10,000	70,000
Training Curriculum for NDEs	2	curriculum	40,000	80,000
Training Workshops in locations that are to be determined in Africa, Asia, and Latin America (workshop logistics including travel and accommodation for participants and experts, venue, report, outreach)	3	Training workshops	56,193	168,580
Subtotal				318,580
<i>Consultants</i>				
<i>Activity 2 - Review of Developing Country Technology Priorities Defined in Current Country Plans and Current and Prospective Linkages of CTCN Support with LEDS and Other Programs</i>				
Consultants to coordinate the review of developing country technology priorities	80.00	person days	250	20,000
<i>Activity 3 and 4 - Launch Support for Technology Assessment and Develop Technology Data Base</i>				
Senior consultants to compile tools and resources to support country technology assessments*	132.00	person days	500	68,500
Subtotal				88,500
<i>Project Support costs for Secretariat (13%)</i>				52,920
TOTAL BUDGET				460,000

*Given uncertainty of pricing at the time of ticket purchase, the total number of individuals that can be supported will vary in order to stay on budget.

Budget Narrative

Personnel/Salaries:

No personnel are requested in this proposal.

Personnel/Fringe Benefits:

Not applicable

Travel:

No travel is requested in this proposal.

Equipment:

No equipment is requested in this proposal.

Supplies:

No supplies are requested in this proposal

Contractual/Consultants

We plan to have activities conducted by our Consortium Partners:

- Asian Institute of Technology (AIT) – Thailand
- Bariloche Foundation (BF) – Argentina
- Council for Scientific and Industrial Research (CSIR) – South Africa
- The Energy and Resources Institute (TERI) – India
- Environment and Development Action in the Third World (ENDA-TM) – Senegal
- Tropical Agricultural Research and Higher Education Center (CATIE) – Costa Rica
- World Agroforestry Centre (ICRAF) – Kenya
- Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) – Germany
- Energy Research Centre of the Netherlands (ECN) – The Netherlands
- UNEP Risø Centre, including expertise from UNEP-DHI Centre (URC) – Denmark

Partner

- National Renewable Energy Laboratory (NREL) – United States

The designation of the Consortium Partner that will develop the various activities will be determined based on the project need, depending on the country presenting the request and on the specific sector.



United States Department of State

Washington, D.C. 20520

GRANTS OFFICER REPRESENTATIVE DESIGNATION LETTER

MEMORANDUM

TO : OES/EGC – Nancy L. Ahson Certification # 100402

FROM : AQM – Barbara L. Jones, Grants Officer

EFFECTIVE DATE: September 18, 2013

SUBJECT: Grants Officer Representative — Delegation of Authority

REF: S-LMAQM-13-GR-1247; “Climate Technology Centre and
 Network (“the CTCN”)”

GRANTEE: United Nations Environment Programme

You are hereby designated as the Grants Officer Representative ("GOR") with respect to the above referenced assistance award(s). As GOR, you are hereby delegated the authorities and responsibilities specified herein, subject to the stated limitations.

This delegation is limited to the referenced assistance award(s) and is not subject to re-delegation by you. You may be assisted by relevant personnel and/or contractors serving as technical specialized staff supporting grant administration in accordance with GPD 59, and as specified below. Final reporting, notifications, submissions must be done by the GOR and submitted to the Grants Officer (GO).

The delegation may be terminated at any time by written notice from the GO. Please notify the GO if you are transferred from your present position or prevented from continuing as GOR for the referenced assistance award(s).

Authorities

1. Coordination and consultation with the recipient on all programmatic, scientific, and/or technical matters which may arise in the administration of the assistance award.

2. Evaluation of project performance to ensure compliance with the assistance award terms and conditions.
3. Assistance to the award recipient in problem identification and resolution.
4. With prior notification of the GO, ensure that the evaluation of progress or problems is conducted through visits to the recipient's place(s) of performance.
5. Receipt and review of required recipient reports (progress, financial, or other) is accomplished to ensure that they are timely and complete.
7. Assistance to the GO in project closeout, including the review and programmatic evaluation of the final recipient progress and financial reports, recipient publications, and any other required documentation.

Responsibilities

1. Monitor recipients' progress and performance. Promptly notify the GO in writing of any noncompliance, deviation in performance, or failure to make progress.
2. Provide the GO with written assessment of the overall program performance based on the review of Program Progress and Financial Status Reports within 30 days of receipt of the reports.
3. In some circumstances, approving drawdown and reimbursement requests for payment, execute these documents promptly and transmit them to the designated payments office within five calendar days.
4. Know and understand the terms and provisions of the assistance award.
5. Know the scope and limitations of your authority.
6. Use good judgment, skill and reasonable care in the exercise of your authority.
7. Protect privileged and sensitive recipient and/or assistance award information.
8. Ensure that the GO is provided with findings promptly after a recipient's location of performance is visited. Findings to the GO should be provided in a trip report prepared in accordance with your office's internal procedures. Such reports might include, as appropriate: (a) Actual performance versus scheduled performance; (b) Action needed, if any, to restore assistance

award schedule; (c) Costs incurred versus projections.

9. When applicable, ensure that the GO is assisted in executing the Government Furnished Property (GFP) provisions of the assistance award. Activities might include: (a) Preparing an itemized list of GFP showing serial numbers, if any, and approximate value of each item; (b) Providing the GO with the GFP list and the recipient's Acknowledgement of Receipt for any GFP.

10. Upon completion of the assistance award, ensure a statement of satisfactory performance or a statement of any deviations, shortages or deficiencies is prepared. If you believe the recipient has failed to perform satisfactorily, you must promptly notify the GO and follow up in writing with a memorandum documenting the pertinent facts.

Limitation

This delegation does not include the authority to: (a) modify or alter the assistance award or any of its terms and conditions; (b) waive the Government's rights with regard to the recipient's compliance with stated assistance program or financial requirements or with assistance award terms or conditions; or (c) approve any actions which would result in increased cost of performance. All such actions must be made in writing by the cognizant GO in coordination with appropriate program officials.

BY SIGNING BELOW, I ACKNOWLEDGE RECEIPT OF THIS GRANTS OFFICER REPRESENTATIVE DESIGNATION LETTER AND AGREE TO PERFORM GOR ACTIVITIES WITHIN THE AUTHORITIES AND RESPONSIBILITIES OUTLINED ABOVE.

SIGNATURE

Nancy L. Ahson

PRINT NAME

Nancy L. Ahson

POSITION

GOR

GOR CERTIFICATION #

100402

DATE

Sep. 18, 2013

* Please execute and return the original for the assistance award file, retaining one copy for your file.

cc: 1. Recipient 2. Office of Finance 3. Assistance Award File