Technical Assistance

Status, Process and Criteria

5th Meeting of the CTCN Advisory Board

14-16 April 2015
Content of the Presentation

I. Status

II. Process and criteria
Technical Assistance Status

1. Requests being screened
2. Requests not deemed eligible
3. Requests inactive
4. Requests deemed eligible but not prioritized
5. Requests deemed eligible and prioritized
6. Response plans being designed
7. Response plans being implemented and contracted
Technical Assistance Status

Overview of Request Appraisal

- Requests deemed eligible: 82.8%
- Requests deemed eligible and not prioritised: 10.3%
- Requests not deemed eligible: 6.9%
Technical Assistance Status

Distribution by Region:

- Africa: 30.3%
- Asia and the Pacific: 33.3%
- Latin America and the Caribbean: 36.4%

Distribution by UNFCCC Objective:

- Adaptation: 15.2%
- Mitigation: 51.5%
- Adaptation and mitigation: 33.3%
Technical Assistance Status

Adaptation Requests by Sector:
- Early warning and disaster reduction: 18.2%
- Agriculture / Fisheries: 27.3%
- Water: 18.2%
- Ecosystems: 18.2%
- Cross-sectoral: 18.2%

Mitigation Requests by Sector:
- Energy: 11.8%
- Transport: 5.9%
- Industry: 11.8%
- Forestry: 11.8%
- Waste: 11.8%
- Cross-sectoral: 52.9%
Technical Assistance Status

Availability of TNA:

- Number of requests submitted by countries with TNA already: 9.1%
- Number of requests submitted by countries without TNA yet: 36.4%
- Others (multi-country requests): 54.5%

Geographic scale:

- Requests submitted for community level: 9.7%
- Requests submitted for sub-national level: 9.7%
- Requests submitted for national level: 12.9%
- Requests submitted for multi-country level (in same region): 67.7%
Targeted Outcomes by COP21 (with partners)

A) TA Request and response # targets (consistent with PoW):
   • Received 60+
   • Prioritised 30+
   • Implementing 20+

B) TA Response Plans Implementation initiated for key areas:
   • 1+ Private sector financing
   • 1+ Traditional technologies
   • 1+ Gender approaches
   • 1+ Main areas of TNA priorities (Ag, H20, energy, transport, etc)
   • 1+ SIDs

C) TA Request balance:
   • 1/3+ for adaptation/mitigation
   • 1/3+ from LDCs
**Targeted Outcomes by COP21 (with partners)**

**A) TA Request and response # targets (consistent with PoW):**
- Received 60+
- Prioritised 30+
- Implementing 20+

**B) TA Response Plans Implementation initiated for key areas:**
- 1+ Private sector financing
- 1+ Traditional technologies
- 1+ Gender approaches
- 1+ Main areas of TNA priorities (Ag, H20, energy, transport)
- 1+ SIDs

**C) TA Request balance:**
- 1/3+ for adaptation/mitigation
- 1/3+ from LDCs
Content of the Presentation

I. Status

II. Process and criteria
Technical Assistance: Process

CTCN

CTC
- Core Center (UNEP and UNIDO – CP Staff)
- Technical Resource Pool (CP Staff)

CTN
- Network Service Providers

Proponents

NDE

Proponents
Technical Assistance: Process

1. Decide on eligibility and prioritisation
2. Design Response Plan
3. Implement Response Plan
4. Monitor and learn
1. Decide on eligibility and prioritisation
   a) Form the team
   b) Design the plan

2. Design Response Plan
   a) Form the team
   b) Design the plan

3. Implement Response Plan
   a) Select and contract the team
   b) Implement

4. Monitor and Learn
   a) M&E
   b) Learn and share
Technical Assistance: Process

1. Decide on eligibility and prioritisation
   a) Form the team
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   a) Select and contract the team
   b) Implement

4. Monitor and Learn
   a) Learn and share
   b) M&E

10 working days max*
40 working days max*
10-40 working days max to contract*
A) 30 working days max*; B) ongoing

*Assuming CTCN full staffing and resourcing as per workplan approved by AB, not including delays due to national circumstances.
Technical Assistance Process: COP Guidance

Key guidance from COP document

Modalities and Procedures of the CTCN (COP 19)
Terms of Reference of the CTCN (COP 17)

• CTCN shall ‘Manage the process of receiving and responding to requests from developing country Parties’ (17/2, annex VII);
• CTCN shall ‘Assess with support from the technical resource pool the received requests and prioritize and refine those requests in conjunction with the NDE with the aim of determining their technical feasibility’ (19/25, annex 1);
• CTCN “Responds to requests, through either the Consortium or the Network, based on considerations of appropriate capacity, expertise and cost-effectiveness.” (19/25, annex 1);
• ‘The members of the Network of the CTCN will undertake the substantive work as directed by the CTC to respond to requests made to the CTCN by NDEs’ (19/25, annex 1)
1. Decide on eligibility and prioritisation

2. Design Response Plan
   a) Form the team
   b) Design the plan

3. Implement Response Plan
   a) Select and contract the team
   b) Implement

4. Monitor and Learn
   a) Learn and share
   b) M&E

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Stage 1: Decide on Eligibility and Priority

Steps:
1. CTM acknowledge request {by day 2}
2. CTM assesses {by day 4}
   a) Eligibility
   b) Prioritization and balancing
3. Director reviews recommendation {by day 8}
4. Director communicates decision to NDE {by day 10}

Eligibility criteria approved by AB:
1. A) Benefit to mitigating or adapting to climate change.
   B) The request is in line with national strategies and plans*
2. Enhances endogenous capacities.*
3. Processes in place in requesting country to monitor and evaluate.*

Prioritisation criteria:
1. Promoted endogenous and appropriate technologies and processes.*
2. “Project readiness” and potential for replication or scaling up.
3. Collaboration amongst stakeholders.*
5. Gender equality and empowerment of vulnerable groups.

Balancing criteria:
1. Inter and intra-regional equity
2. Balance adaptation and mitigation
3. Balance spanning the technology cycle

* Footnotes
TA Process: Stage 2

1. Decide on eligibility and prioritisation
   a) Form the team
   b) Design the plan

2. Design Response Plan
   a) Form the team
   b) Design the plan

3. Implement Response Plan
   a) Select and contract the team
   b) Implement

4. Monitor and Learn
   a) Learn and share
   b) M&E

*Assuming CTCN full staffing and resourcing as per workplan approved by AB, not including delays due to national circumstances.
Stage 2: Design Response Plan

(A) Form the Team

Steps:
1. CTM sends call for interest to all CPs
2. CTM reviews expressions of interest and recommends to Director
3. Director communications composition of team to NDE and CPs

Criteria for selecting Response Planning Expert Team:
1. Relevant technical expertise
2. Experience and network in national context
3. Relevant language capacity
4. Response planning track record
5. Representative involvement of CPs

10 working days max

(B) Design the Plan

Steps:
1. Response Planning Expert Team designs Response Plan with NDE and proponent
2. Director and NDE sign Response Plan
3. CTC shares Response plan on website

Key design considerations:
1. Removal of technology barriers indicated in Request
2. Complementarity to other projects
3. Gender considerations
4. Impact on SDGs
5. Financial viability/’bankability’
6. Vision for sustainability of action

30 working days max
<table>
<thead>
<tr>
<th>REP Challenges</th>
<th>Possible good REP practices</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Broad request</strong></td>
<td>Aim to have a sharply focussed Request in the first place through better communication with NDE and country applicants, and on the CTCN TA in general. Draft clarifying focus questions among RET and send to NDE prior to kick off call. Involve Response Planning Team staff from national office to participate in meetings face-to-face. Involve UNEP and UNIDO Regional Office focal points.</td>
</tr>
<tr>
<td><strong>Coordination among RET</strong></td>
<td>Small is beautiful, and if the RET includes more than one Partner, the division of work and responsibilities needs to be agreed upon at the onset. Form clear team including clear CP lead, focal points for each RET member, NDE and proponent. Draft REP in main language of the country and translate at the end. If possible, do all calls with NDE in main language of the country. Always copy NDE on all correspondence with any country actors.</td>
</tr>
<tr>
<td><strong>Slow progress</strong></td>
<td>Hold a RET formation call, followed by a REP kick off call with the NDE and their designates. Set explicit timeline and milestones to complete REP in the first kick off call. Make sure relevant experts within CPs are available to work on the Response Planning. Contract/select only one implementer (implies only one agreement concerned and one partner to transfer funds to), even if sub-contracting of another partner is possible.</td>
</tr>
<tr>
<td><strong>Agreeing on budget</strong></td>
<td>CTM decides based on recommendations of RET members. Resources/indicative budget is thought at the stage of designing the Response Plans, to avoid agreeing on activities that would be way above CTCN budget threshold.</td>
</tr>
<tr>
<td><strong>Clarity of actionable TA activities</strong></td>
<td>Specify clear deliverables and deadlines for each.</td>
</tr>
<tr>
<td><strong>Designing the Response Plan for success and impacts of TA</strong></td>
<td>Make sure TA outputs/results are expected to be used and useful for the country beneficiaries and partners. Integrate M&amp;E considerations (specific indicators, targets, timeline, responsibilities) in REP.</td>
</tr>
</tbody>
</table>
TA Process: Stage 3

1. Decide on eligibility and prioritisation
   a) Form the team
   b) Design the plan

2. Design Response Plan
   a) Form the team
   b) Design the plan

3. Implement Response Plan
   a) Select and contract the team
   b) Implement 10-40 working days max to contract*

4. Monitor and Learn
   a) Learn and share
   b) M&E

*Assuming CTCN full staffing and resourcing as per workplan approved by AB, not including delays due to national circumstances.
Stage 3: Implementation

(A) Form the team

Steps if Rapid Response by Consortium:
1. CTM assesses CP’s expertise
2. Director approves recommendation
3. CTC contract CP for implementation

Steps if implementation by Network:
UNIDO runs competitive tender to select and contract NM, including:
   a) ToR based on Response Plan
   b) Network Members invited to apply
   c) Evaluation against criteria
   d) Contract as per UNIDO procedures

Implementation by CP or NM:
1. Rapid response: Consortium*
2. Larger response: Network*
   *Exceptions consider relevant capacity, expertise and cost effectiveness, incl.:
   a) Expertise and time availability
   b) In kind-contribution

(B) Implement

Considerations:
- Implementer deliver TA as per REP
- Avoidance of overlap and max synergies
- Oversight by CTM and coord’n with NDE
- Focus on creating ‘bankable’ projects and linking to investors

Criteria to select implementing partner:
1. Relevant thematic expertise
2. Local context experience
3. TA delivery experience
4. Record of delivery with CTCN
5. Availability for rapid deployment

M&E Considerations:
1. Delivery based on M&E targeted articulated in workplan
2. Contributions towards achieving SDGs
TA Process Stage 3: Delivering through Network

Key Guidance
4th Advisory Board meeting highlighted importance of Network for implementation of Technical Assistance
“…ensure fair and open international tendering for the procurement of services in line with the fiduciary and ethical standards of the United Nations”

Procurement at UNIDO
- Own procurement department
- Fully integrated eProcurement
- 265+ million USD goods and services procured for technical cooperation and operations
TA Process Stage 3: Delivering through Network

**Initiation**
- Terms of Reference
- 1 day

**Solicitation**
- Request for proposal / quotation
- Restricted to Network Members
- 2 - 4 weeks

**Evaluation**
- Qualification and technical criteria
- 2 days – 1.5 week

**Contract**
- Contract issuance
- Least cost, technically acceptable offer
- 1 – 1.5 week

**Closure**
- Delivrables

External factors (e.g. clarifications with bidders) might affect timeline
TA Process: Stage 3 - Delivering through Network

Criteria: Qualification requirements
- Certificate of incorporation
- 3 years experience
- Acceptance of proposed contract terms
- Conflict of interest

Criteria: Technical evaluation
- Experience related to technical assistance
- Expertise
- Adequacy of proposal
- Local context and experience
- Personnel qualifications
TA Process: Stage 4

1. Decide on eligibility and prioritisation
   - a) Form the team
   - b) Design the plan

2. Design Response Plan
   - a) Form the team
   - b) Design the plan

3. Implement Response Plan
   - a) Select and contract the team
   - b) Implement

4. Monitor and Learn
   - a) Learn and share
   - b) M&E

- 10 working days max*
- 40 working days max*
- 10-40 working days max to contract*
- A) 30 working days max*; B) ongoing

*Assuming CTCN full staffing and resourcing as per workplan approved by AB, not including delays due to national circumstances.
Stage 4: Learn and Share

(A) Documenting and sharing learning

Steps:
1. Implementer(s) deliver all products and reporting requirements
2. CP who lead Response Plan Design produce a case study report conveying innovations, qualitative results and learning gained through this TA and potential relevance to others
3. Publish all products and learning on website
4. Content for CTCN Regional Forums and webinars, as well as content for CP trainings and publications (ongoing)

Report within 30 working days after TA implement’n closure; sharing ongoing

Methods:
1. Report profiled on KMS
2. Webinars
3. CTCN Regional Forums
4. Technology innovations in KMS technologies database
5. Consortium and Network Members’ knowledge sharing activities

(B) Monitoring of impacts

Steps:
1. Develop/review impact monitoring plan, with specific indicators, targets and timeline for reporting
2. Monitor project impacts based on impact monitoring plan (by Response Planning Lead)
3. Summarise impact and share on KMS

From closure onwards

M&E considerations
1. Monitoring of impacts based on specific indicators and targets
2. Quantitative and qualitative data
3. Collection by NDE and applicant, with support from implementer
4. Data aggregated to report on overall CTCN impacts
TA Process Stage 4.A: Documenting and sharing

1. Via CTCN KMS:
   - Access to technical assistance requests and response plans

2. Via CTCN outreach materials, reports:
   - Descriptive case studies & interviews
   - Visualisation of TA metrics

3. Via CTCN Forums, webinars and trainings:
   - NDEs, Proponents, Consortium Partners, and Network Members with opportunities to share learning gained through CTCN technical assistance
TA Process Stage 4B: Monitoring Impacts

Example:
“Formulating Geothermal Energy Policy, Legal and Regulatory Framework in Uganda”

TA Activity
- Development of RE policy and regulation
- Formulation of policy; Drafting of law; Drafting of implementation plan and regulations

TA Outputs
- Outcome
  - Specific RE policy developed/incentives provided
  - Investments triggered

Impacts articulated in Response Plan
- Outcome
  - Increased share of RE in supply and carbon intensity reduction
  - 7. Access to affordable, reliable, sustainable and modern energy for all

Response Plan activities and outputs

United Nations
Framework Convention on Climate Change
Unlocking the power of technology for climate smart solutions

Green Cooling Africa Initiative (GCAI)

Facts:
- Reference number: 201500002
- Countries: Ghana, Kenya, Mauritius, Namibia
- Multi-country
- Date of submission: Friday 8 August 2014
- Stage: Response implementation team being formed

Request acknowledgement:
1. Request screening
2. Response plan expert team formation
2b. Response plan design
3a. Contracting response plan implementors

Request:
Green Cooling Africa Initiative (GCAI)

Due date for acknowledgement:
Monday 11 August 2014

Request NDE:
Department of Environmental Affairs
Environmental Protection Agency
Kenya Industrial Research and Development Institute
Ministry of Environment and Sustainable Development

Responsible CTM:
Jason Spensley

Proposed geographical scope:
Regional multi-country

Proposed objective:
Mitigation

Proposed focus area:
Transport
Energy
Industry

TNA already completed before submission:
multiple countries

Proposed type of assistance:
others

Date of acknowledgement:
Monday 18 August 2014
TA Process: Automation for Efficiency

Unlocking the power of technology for climate smart solutions

HOME  ABOUT CTCN  ADVISORY BOARD  TECHNICAL ASSISTANCE  CAPACITY BUILDING  NETWORK

Home

Green Cooling Africa Initiative (GCAI)

View  Edit  Group  Revisions

Facts:
- Reference number: 2015090002
- Countries: Ghana, Kenya, Mauritius, Namibia
- Multi-country
- Date of submission: Friday 8 August 2014

Stage:
- Response implementation team being formed

Request acknowledgement

1. Request screening
2a. Response plan expert team formation
2b. Response plan design

Contracting response plan implementors

Request:
Green Cooling Africa Initiative (GCAI)

Due date for acknowledgement:
Monday 11 August 2014

Request NDC:
Department of Environmental Affairs
Environmental Protection Agency
Kenya Industrial Research and Development Institute
Ministry of Environment and Sustainable Development

Responsible CTCN:
Jean Spenceley

Proposed geographical scope:
Regional multi-country

Proposed objective:
Mitigation

Proposed focus area:
Transport
Energy
Industry

TNA already completed before submission:
multiple countries

Proposed type of assistance:
others

Date of acknowledgement:
Monday 18 August 2014
TA Process: Automation for Efficiency

Green Cooling Africa Initiative (GCAI)

Request:
Green Cooling Africa Initiative (GCAI)

Due date for acknowledgement:
Monday 11 August 2014

Request NDE:
Department of Environmental Affairs
Environmental Protection Agency
Kenya Industrial Research and Development Institute
Ministry of Environment and Sustainable Development

Responsible CTM:
jason.spensley

Proposed geographical scope:
Regional multi-country

Proposed objective:
Mitigation

Proposed focus area:
Transport
Energy
Industry

TNA already completed before submission:
multiple countries

Proposed type of assistance:
others

Date of acknowledgement:
Monday 18 August 2014

Facts

Reference number:
2015000002

Countries:
Ghana
Kenya
Mauritius
Namibia
Multi-country

Date of submission:
Friday 8 August 2014

Stage:
Response implementation team being formed
TA Process: Automation for Efficiency

Green Cooling Africa Initiative (GCAI)

Due date for Response Planning Expert Team notification:
Wednesday 10 September 2014

Date of call for Response Planning Expert Team:
Wednesday 27 August 2014

Interested consortium partners:
- Council for Scientific and Industrial Research
- Deutsche Gesellschaft für Internationale Zusammenarbeit
- Energy Research Centre of the Netherlands
- Environment and Development Action in the Third World
- UNEP DTU Partnership

Lead planner:
- United Nations Industrial Development Organization

Other planners:
- Council for Scientific and Industrial Research
- Deutsche Gesellschaft für Internationale Zusammenarbeit
- United Nations Environment Programme

Date of Response Planning Expert Team notification:
Friday 8 August 2014

- Response by consortium partners

Lead implementor:
- Deutsche Gesellschaft für Internationale Zusammenarbeit

Other implementors:
- Council for Scientific and Industrial Research

Due date for agreement:
Monday 25 May 2015

Duration and budget

Budget:
$596,850
Thank you