

CTCN Technical Assistance Process and Criteria for Responding to Country Requests

1. Background

In December 2011, the 17th Conference of the Parties to the UNFCCC decided that CTCN will “Manage the process of receiving and responding to requests from developing country Parties” (CP.17/2, annex VII). This decision also indicates the CTCN Advisory Board will provide guidance, and approves the prioritisation criteria for responding to requests from developing countries Parties, taking into account the strategic considerations and recommendations provided by the Technology Executive Committee (TEC) in relation to decision 1/CP.16.

In decision 1/CP16, the Conference of the Parties decided that areas that could be considered under the Convention may include: (a) Development and enhancement of the endogenous capacities and technologies of developing country Parties, including cooperative research, development and demonstration programmes; (b) Deployment and diffusion of environmentally sound technologies and know-how in developing country Parties; (c) Increased public and private investment in technology development, deployment, diffusion and transfer; (d) Deployment of soft and hard technologies for the implementation of adaptation and mitigation actions; (e) Improved climate change observation systems and related information management; (f) Strengthening of national systems of innovation and technology innovation centres; and (g) Development and implementation of national technology plans for mitigation and adaptation.

In September 2013 at its 2nd meeting, the Advisory Board of the CTCN approved a list of prioritisation criteria for responding to requests from developing country Parties. It was noted that the list of criteria will need to be reviewed once the CTCN is fully operational and periodically to assess the appropriateness of the criteria.

In December 2013, the 19th Conference of the Parties to the UNFCCC provided further guidance on how CTCN handles requests, including that it will “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” (CP.19/25, annex 1). This decision also indicates that CTCN “Responds to requests, through either the Centre (including the technical resource pool of Consortium Partners) or the Network, based on considerations of appropriate capacity, expertise and cost-effectiveness.”, and “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’ (CP.19/25, annex 1)

In September 2014, the 4th meeting of the CTCN Advisory Board encouraged the CTCN to further clarify its Technical Assistance Process, including criteria for selecting implementing partners. This note presents the experience and approaches used so far by the CTC team for

the process of managing requests and implementing responses, including acknowledging requests, as well as designing and implementing and monitoring responses.

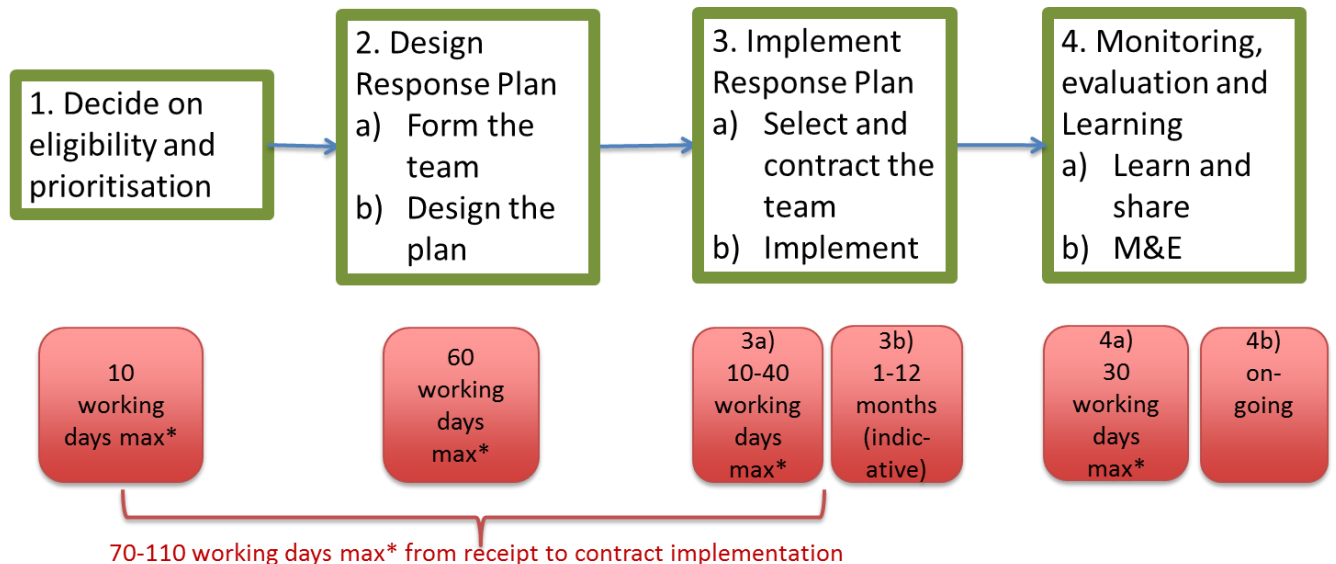
In December 2014, the 20th Conference of the Parties invited the Advisory Board of the CTCN to elaborate the prioritisation criteria for country requests as needed.

In April 2014 at its 5th meeting, the CTCN Advisory Board discussed CTCN's process and procedures for managing requests, including lessons learnt about challenges and good practices in Response Planning. This Advisory Board meeting also discussed experience and approaches used by the CTC team for applying the request eligibility and prioritisation criteria and balancing principles. Feedback from the Advisory Board placed an emphasis on transparency in decision making throughout the process and highlighted the importance of ensuring use of the originally approved version of the criteria.

This note is a summary of the further refined CTCN process and procedures for managing Requests, as well as the proposed eligibility and prioritisation criteria and balancing principles. The content of this document related to Process, Procedures and Criteria does not differ substantially from the Technical Assistance Process and Procedures and Criteria presented at and discussed at the 5th CTCN Advisory Board meeting but incorporates clarifications as requested by the Advisory Board as well as further learning during recent months of CTCN operations.

2. Clarified Technical Assistance Process and Procedures

As presented and discussed at the 5th CTCN Advisory Board meeting, the process for managing technical assistance Requests and Responses has been clarified into 4 stages and maximum times for each, as summarised in the figure below.



* Assuming CTCN is fully staffed and resourced as per workplan approved by Advisory Board, not including delays due to national circumstances.

Specific steps and timelines are further articulated for each stage, as follows:

Stage	Step	Time (each step)	Time (cumulative)	Design Consideration	
1. Decide on eligibility and prioritisation	i. CTM acknowledges request	2	2	Please see AB5 information note on Eligibility and Prioritisation Criteria	
	ii. CTM assesses Eligibility, as well as Prioritisation and balancing{by day 4} (based on template in Annex 1)	4	6		
	iii. Director reviews recommendation	2	8		
	iv. Director communicates decision to NDE	2	10		
2. Design Response Plan	A) Form the Design Team	i. CTM sends call for interest to all CPs	1	11	<p>Criteria for selecting Response Planning Expert Team:</p> <ul style="list-style-type: none"> • Experience and network in national context • Relevant language capacity • Response planning track record • Representative involvement of CPs <p>Key design considerations:</p> <ul style="list-style-type: none"> • Removal of technology barriers indicated in Request • Complementarity to other projects • Gender considerations • Impact on SDGs • Financing viability • Vision for sustainability of action
		ii. CTM reviews expressions of interest and recommends to Director	7	18	
		iii. Director communications composition of team to NDE and CPs	2	20	
	B) Design the Plan	i. Response Planning Expert Team designs Response Plan with NDE and proponent (based on Response Planning template in Annex 3)	45	65	
		ii. Director and NDE sign Response Plan	5	70	
		iii. CTC shares Response Plan on website	0	70	
3. Implement Response Plan	A) Form the Implementation Team	Implementation by Consortium	10	80	The preferred approach for implementation of a 'quick response' is by the Consortium, and for larger responses is by the Network. Exceptions can be made at the discretion of the CTCN Director, based on considerations of relevant capacity, expertise and cost effectiveness, including expertise and current time availability existing in Consortium or Network, and in kind-contribution of relevant expertise.
		i. CTM assesses Consortium Partners expertise and recommends decision			
	ii. Director approves recommendation				
	iii. CTC contract CP for implementation				
		UNIDO runs competitive tender to select and contract Network Member:	40	110	
	i. ToR based on Response Plan				
	ii. Network Members invited to apply				
	iii. Evaluation of bids against criteria and selection as per standard UNIDO procurement procedures				
		iv. Contract per UNIDO procedures			

	B) Implement the Response Plan	Implementation steps are based on each individual Response Plan	~ 1-12 months after completing the Response Plan (step 3A)	<ul style="list-style-type: none"> • Implementer(s) delivers assistance as per Response Plan • Avoidance of overlap and maximise synergies • Oversight by CTM and coordination with NDE • Focus on creating 'bankable' projects and linking to investors • Delivery based on M&E targeted articulated in workplan • Contributions towards achieving SDGs
4. Monitoring, Evaluation and Learning	A) Learn and Share	i. Implementer(s) deliver all products and reporting requirements	Within 30 working days of completing implementation (step 3B)	<ul style="list-style-type: none"> • Report profiled on KMS • Webinars • CTCN Regional Forums • Technology innovations in KMS technologies database • Consortium and Network Members' knowledge sharing activities
		ii. 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		
		iii. Publish all products and learning on website		
		iv. Content for CTCN Regional Forums and webinars, as well as content for CP trainings and publications (ongoing)	Ongoing	
	B) Monitoring and evaluation of	i. Develop/review impact monitoring and evaluation plan, with specific indicators, targets and timeline for reporting	In Response Plan (step 3A)	<ul style="list-style-type: none"> • Monitoring of impacts based on specific indicators and targets • Quantitative and qualitative data • Collection by NDE and applicant, with support from implementer • Data aggregated to report on overall CTCN impacts
		ii. Monitoring project impacts based on impact monitoring plan (by Response Planning Lead)	Within 30 days from completing implementat'n (step 3B)	
		iii. Articulate impact and actively disseminate	Ongoing	

AB5 – Advisory Board meeting number 5

CP – Consortium Partners

CTM – Climate Technology Manager

In determining whether implementation of the Response Plan is done through the CTCN Consortium Partners or the Network (step 3.A), it is important to clarify the indications above. The preferred approach for implementation of a 'quick response' is by Consortium Partners, and for larger responses is by the Network. Exceptions may be made at the discretion of the CTCN Director, based on considerations of relevant capacity, expertise and cost effectiveness. These

considerations factor in expertise and current time availability of Consortium Partners and Network members, and in kind or counterpart contributions of relevant expertise.

3. CTCN Prioritisation Criteria

Based on experience to date, the perception of the CTC is that the criteria previously approved by the Advisory Board remain relevant and appropriate, and no changes are required. CTC is glad to clarify how these criteria are applied in a transparent manner during the Technical Assistance Process.

The criteria approved at previous Advisory Board meetings to govern Technical Assistance Request Eligibility, Prioritisation and Balancing, are as follows. These criteria and the way they are applied was further discussed at the 5th Advisory Board meeting, and is reiterated below:

A) Guiding principles (referred to as Eligibility Criteria in internal CTCN processes):

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

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

B) Balancing principles:

With the aim of achieving a balanced and equitable portfolio, the CTC Director shall ensure that priority is given to requests that bring about:

1. Inter and intra-regional equity, with a preference for requests submitted by LDCs and other highly vulnerable and low capacity countries
2. A balance of technological-related activities covering both adaptation and mitigation
3. A balance of technological related activities spanning the technology cycle.

C) Prioritization criteria (project specific and in no particular order):

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

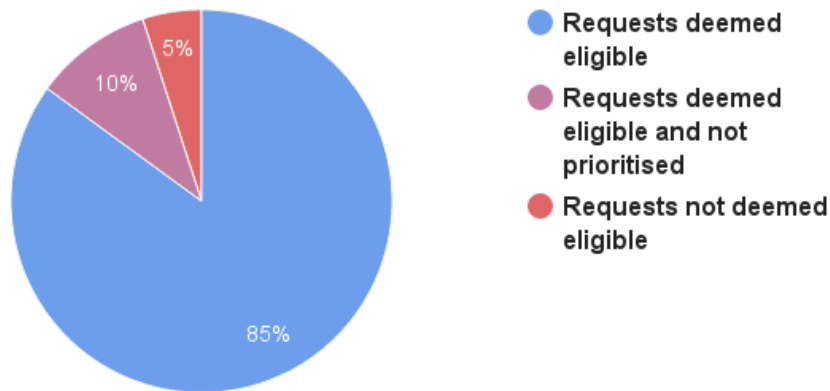
1. Promote endogenous and most appropriate technologies and processes
2. Demonstrate “project readiness” and the potential for replication or scaling up nationally, regionally and internationally
3. Promote collaboration amongst and between stakeholders, including between countries, and having elements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

The criteria indicated above are applied by the Climate Technology Managers and form the basis of a recommendation for approval of the Director. In order to help ensure objectivity,

transparency and record keeping, the Request Review template attached below is completed by the Technology Managers, sent to the Director for approval, and this forms the basis for discussion on eligibility, prioritization and balancing of TA Requests. Footnotes have been included based on the CTC's understanding, in order to help specify application the criteria. The Director sends written communication conveying the decision on Eligibility and Prioritisation to the NDE.

Experience:

- i. Based on current criteria, the vast majority of requests submitted to date have been deemed eligible, as indicated by the pie below.



- ii. In March 2015, CTCN incurred its first cases of Requests that were deemed Eligible but not Prioritised at this time. In March 2015, five(5) requests from Indonesia were received and deemed Eligible, of which only 2 were prioritised at this time (based on Prioritisation and Balancing criteria), due to current funding limitations. We anticipate the number of requests deemed Eligible but that we are unfortunately currently unable to Prioritise will increase in the coming month, due financial limitations. In the case of a Request being deemed Eligible, but not Prioritised, the Director informs the NDE that we will periodically review CTCN's ability to respond to them, based on any changes in CTCN's financing considerations and TA Request balancing factors (among regions, sectors, etc.).
- iii. A number of Requests that are deemed eligible have a wide scope of activities that need to be further refined and narrowed down during the Response Planning Stage. When substantive refinement and narrowing is required, this work has at times contributed to slow down the process of designing the Response Plan, and thus delaying the delivery of the technical assistance. More specific information could be added to the Request template that may help ensure that Requests are more clearly articulated, but we are conscious of the importance of keeping the Request template as brief as possible from a perspective of accessibility (i.e. removal of barriers and creation of enabling environment; potential to trigger tangible impacts and effective deployment of technologies on the ground; co-financing at the request stage, adapted to CTCN mandate; capacities and resources; linkages with past and current projects and programme, considerations of SIDS; promotion of national systems of innovations; etc.). The CTC will continue to monitor and learn from design and delivery of technical assistance, and make minor adjustments to the Request and Response Plan templates accordingly.

Annex 1 - CTCN Request Review Template

Country(ies):	
Request title:	
CTCN Request reference number:	
Climate Technology Manager:	
Recommendation for the CTCN Director on the request:	<input type="checkbox"/> Request not eligible <input type="checkbox"/> Request eligible and prioritized <input type="checkbox"/> Request eligible but not prioritized

Eligibility Criteria* (*Instruction: Insert Yes or No - all criteria must be met for the Request to be Eligible*)

#	Criteria	Yes/No	Comments
1	Will contribute to increased resilience and/or mitigate emissions.		
	Aligned with national plans ¹ .		
2	Will enhance endogenous capacities. ²		
3	Processes are in place in the requesting country to monitor and evaluate any support provided. ³		

Prioritization Criteria* (*Instruction: Indicate Yes or No*)

#	Criteria	Yes/No	Comments
1	Promote endogenous and appropriate technologies and processes. ⁴		
2	Demonstrate “project readiness” and the potential for replication or scaling up nationally, regionally, and/or internationally.		
3	Promote collaboration amongst and between stakeholders, including between countries, and having elements of South – South, bilateral, or multilateral cooperation.		

¹ Including inter alia National Development Plans, sectoral plans, Technology Needs Assessments, Nationally Appropriate Mitigation Actions, National Adaptation Programmes of Action, National Adaptation Plans, National Biodiversity Strategies and Actions, etc.

² Enhancement of endogenous capacities refers to international technology transfer through technical assistance.

³ The NDE ensures to work with the CTCN to monitor the support provided by indicating this in the Request.

⁴ Including climate technology innovations.

4	Leverage of public and/or private financing. ⁵		
5	Promote and demonstrate multiple benefits, as well as social, economic, and environmental sustainability.		
6	Promote and demonstrate gender equality, and empowerment of vulnerable groups, including women and youth.		

Balancing Criteria (being refined for consideration at AB5) (Instruction: Indicate Yes or No)

#	Criteria	Yes/No	Comments
1	Inter and intra-regional equity, with a preference for requests submitted by LDCs and other highly vulnerable and low capacity countries.		
2	A balance of technological-related activities covering both adaptation and mitigation.		
3	A balance of technological related activities spanning the technology cycle.		

** Please note: These criteria have been previously approved by the CTCN Advisory Board, with clarifications indicated in footnotes for application of the criteria.*

⁵ Including if the request demonstrated the potential for financing from private or public sector ('bankability') opportunities.

Annex 2 – Response Planning Expert Team Selection Template

CPs who expressed interest to design Response Plan	Relevant technical expertise (0 to 10)	Experience/ engagement in national context (0-5)	Relevant language capacity (0-5)	Response Planning track record (0-5)	Representative use of CPs in Response Planning (0-5)	TOTAL

Annex 3 – Response Planning Challenges and Good Practice based on experience to date

Challenges	Possible good practices
1. Broad request	Aim to have a sharply focussed Request in the first place through better communication with NDE and country applicants, and on the CTCN technical assistance in general.
	When countries have completed a Technology Needs Assessment (TNA), encourage the NDE to base requests to CTCN on specific and clearly articulated priorities in the TNA.
	Draft clarifying focus questions among Response Planning Expert Team and send to NDE prior to kick off call.
	Involve Response Planning Team staff from national office to participate in meetings face-to-face.
	Involve UNEP and UNIDO Regional Office focal points.
2. Coordination among Response Planning Expert Team	Small is beautiful, and if the Response Planning Expert Team 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, clear focal points for each Response Planning Expert Team member, NDE and proponent.
	Draft Response Plan 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.
3. Slow progress	Hold a Response Planning Expert Team formation call, followed by a Response Plan kick off call with the NDE and their designates.
	Set explicit timeline and milestones to complete Response Plan 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.
4. Differences of opinion on budget	CTM decides based on recommendations of Response Planning Expert Team 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.
5. Clarity of actionable TA activities	Specify clear deliverables and deadlines for each.
6. Designing the Response Plan for success and impacts of TA	Make sure TA outputs/results are expected to be used and useful for the country beneficiaries and partners.
	Integrate M&E considerations (specific indicators, targets and timeline and responsibilities) in response plan.
7. Overlap of	Ask NDE for relevant information (e.g. ongoing projects with potential overlap

requested TA with other initiatives.	in the country)
	Coordinate with relevant organizations and seek complementarity/synergy and avoid overlap, and aim for explicit agreements
	Channelling of requests to others that may already have a programme/mechanism in place to respond to the request