

**Process and Procedures for
Monitoring, Assessment & Evaluation of CTCN's collaboration and
knowledge-based services and their activities**

1. Background

The 5th meeting of the CTCN Advisory Board in April 2015 took note of the draft outline provided on the outcomes and impacts that the CTCN would Monitor and Evaluate (M&E) as part of its normal operations. The CTCN Advisory Board requested more detail on the process for monitoring and evaluating the CTCN's provision of Technical Assistance in response to requests (the "response") and on the CTCN's collaboration and knowledge-sharing services and their activities. During the 6th Advisory Board, the M&E process and procedures for the CTCN's Technical Assistance were endorsed.

This note aims to respond to the Advisory Board's request for detail on the CTCN's collaboration and knowledge-sharing services and their activities, building on the related guidance received from the COP and individual Donor Country/agency requirements, namely:

- A. Fostering collaboration and access to information and knowledge in order to accelerate climate technology transfer; in decision 25/CP.19 (document FCCC/CP/2013/10/Add.3))
- B. Strengthening networks, partnerships and capacity-building for climate technology transfer; in decision 25/CP.19 (document FCCC/CP/2013/10/Add.3))
- C. Information and knowledge-sharing; in decision 25/CP.19 (document FCCC/CP/2013/10/Add.3))
- D. Individual Donor/agency requirements (UNEP, UNIDO, etc)
- E. UNFCCC reporting requirements

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

Although responding to Technical Assistance requests from developing countries can be considered to form the primary service that the CTCN provides, the CTC is also mandated to facilitate knowledge sharing and to enhance collaboration. All of the CTCN services and their activities are required to be reported on to the COP. In addition, individual donor countries have specific requirements for the CTC to demonstrate that their contribution has contributed to their individual objectives.

The CTCN's collaboration and knowledge-sharing services relate to:

- Capacity Building activities: consisting of the CTCN request incubator programme for NDEs in least developed countries (LDCs); CTCN webinars; NDE trainings; and, the CTCN secondment programme.
- Networking activities: consisting of network member-consortium partner engagement activities and also collaboration under the CTCN's Private Sector Engagement (PSE) mechanism.
- Knowledge capturing activities: consisting of the fostering of knowledge building and dissemination to accelerate technology transfer through the CTCN's Knowledge Management System (KMS).

The CTCN through UNEP and UNIDO has access to a considerable body of proven experience and mechanisms in place for M&E of the CTCN's collaboration and knowledge sharing services and their

activities and for reporting on the achievement of specific objectives through donor country contributions. As such, the CTCN’s M&E for its collaboration and knowledge sharing services and activities will utilise existing infrastructures and the reporting tools that have been developed by UNEP and UNIDO. The mechanisms that the CTCN will use as part of its M&E are:

1. Financial reporting against donor country/agencies contributions (including UNEP, UNIDO, UNFCCC)
2. Workshop, Conference & Webinar activities
3. Stakeholder engagement activities

This note will however not cover the M&E activities related to the financial reporting and performance of the CTCN as this is embedded within the UNEP financial reporting mechanisms adopted by the CTCN secretariat.

3. Monitoring & Evaluation System within the Non-Technical Assistance

M&E information and data from the CTCN’s collaboration and knowledge-based activities will be captured and monitored through the CTCN’s KMS dashboard functionality. This will be enabled through the use of standardised data entry forms by the CTC in order to allow for information capturing following a particular collaboration and knowledge-based activity.

It should be noted that while the CTCN’s collaboration and knowledge-based activities do not have the same M&E mandate as the CTCN request-response cycle in terms of timeliness, appropriateness, quality and effectiveness, the CTC will nonetheless apply a similar concept. Where relevant, the CTCN’s KMS dashboard will apply a similar “traffic light” system to its collaboration and knowledge-based activities as that which is being applied to the technical assistance request-response process in order to “signal” whether the activities have occurred in line with appropriate timelines, appropriateness, quality and effectiveness.

Verification of Appropriateness, Quality and Effectiveness

Non-Technical Assistance Activities	Verification	Confirmation
Capacity building activities	<p>Eligibility of activity <u>Tool used:</u> CTCN Programme of Work</p> <p>Appropriateness, quality and effectiveness <u>Tool used:</u> CTCN Capacity Building Evaluation Form, Individual Capacity Building Activity Plan</p> <p><u>Indicators:</u></p> <ul style="list-style-type: none"> • Number of participants • Gender participation • Type of participants (Stakeholders from private, research, banking sectors, civil society /Government) • Regional distribution • Linkage/Contribution to Sustainability Development Goals • Mitigation/Adaptation Focus • Type of activity (technical, political focus etc.) • Length of activity • Learning objectives 	<p>✓ Capacity Building Manager</p>

	<ul style="list-style-type: none"> • Method used (Online learning, internships, on the job training etc.) • Supporting organisations (Consortium Partners, Network Members, Knowledge Partners) • Participant satisfaction level 	
Incubator Programme	<p>Eligibility of activity <u>Tool used:</u> CTCN Incubator Programme</p> <p>Appropriateness, quality and effectiveness <u>Tool used:</u> Incubator Evaluation Form, Incubator Module 1 - 8</p> <p><u>Indicators:</u></p> <ul style="list-style-type: none"> • Number of participants • Gender participation • Country • Linkage/Contribution to Sustainability Development Goals • Incubator Modules run (1 to 8) • Performing organisations (Consortium Partners Partners) • NDE satisfaction level • NDE increased knowledge and awareness • Number of stakeholders outreached • Number of requests submitted • Type of stakeholders involved 	✓ Capacity Building Manager
Workshops/Conferences	<p>Eligibility of activity <u>Tool used:</u> CTCN Programme of Work</p> <p>Appropriateness, quality and effectiveness <u>Tool used:</u> CTCN Workshop Evaluation Form</p> <p><u>Indicators:</u></p> <ul style="list-style-type: none"> • Number of participants • Gender participation • Type of participants (Stakeholders/Government) • Regional distribution • Linkage/Contribution to Sustainability Development Goals • Mitigation/Adaptation Focus • Technology Focus • Learning objectives of workshop (Awareness, Technical Training) • Length of workshop • Supporting organisations (Consortium Partners, Network Members, Knowledge Partners) • Participants satisfaction level • Increase of knowledge/awareness of participants • Activities conducted in country as a result 	✓ Capacity Building Manager
Webinars	<p>Eligibility of activity <u>Tool used:</u> CTCN Operational Plan</p> <p>Appropriateness, quality and effectiveness <u>Tool used:</u> Webinar Survey Form, Registration report, Performance report</p> <p><u>Indicators:</u></p>	✓ Capacity Building Manager

	<ul style="list-style-type: none"> • Number of participants • Gender participation • Type of participants • Country of participants • Types of organizations participating • Organisations linked to CTCN (Consortium Partner, Network member, NDE) • Participants role within her/his organisation • Regional distribution • Webinar provider (CTCN, Consortium Partner, Network Member, Knowledge Partner) • Linkage/Contribution to Sustainability Development Goals • Mitigation/Adaptation Focus • Technology Focus • Learning objectives of webinar (Awareness, Technical Training) • Participants satisfaction level <ul style="list-style-type: none"> ○ Webinar understandable ○ Quality of presenter ○ Knowledge enhancement ○ Content of webinar ○ Access to the webinar • Relevance of webinar to work • Attendance to previous webinars of CTCN 		
<p>Stakeholder engagement</p>	<p>Eligibility of activity <u>Tool used:</u> Stakeholder Engagement Strategy, CTCN Operational Plan</p> <p>Appropriateness, quality and effectiveness <u>Tool used:</u></p> <ul style="list-style-type: none"> • M&E Capacity Building, or • M&E Workshops, or • M&E Conferences, or • M&E Webinars, or • Stakeholder Meeting Forms <p><u>Indicators:</u></p> <ul style="list-style-type: none"> • Indicators specified under Capacity Building, or • Indicators specified under Workshops, or • Indicators specified under Conferences, or • Indicators specified under the Webinars; • Number of engagements • Number of collaborations started • Number of initiatives developed with stakeholders • Types of initiatives developed • Funds invested, triggered in the initiatives • Number of countries benefitting from the initiatives 	<p>✓ Capacity Building Manager</p>	
<p>Network Member</p>	<p>Network member driven CTCN activities</p>	<p>Eligibility of activity <u>Tool used:</u> CTCN Network Code of Conduct</p> <p>Appropriateness, quality and effectiveness <u>Tool used:</u> the functions of the CTCN defined in paragraph 123 of decision 1/CP.16</p> <p><u>Indicators:</u></p>	<p>✓ Network Manager</p>

		<ul style="list-style-type: none"> • Activity type • Number of participants • Gender distribution • Regional distribution • Technology Focus <p>The M&E of these activities is heavily based on the cooperation of the Network Members and as such may have a lower accuracy level than those other activities performed under the CTCN name. The Secretariat will assess over time whether current Network Code of Conduct needs to be expanded with a specific CTCN / Network member agreement that governs the Network Member driven CTCN activities</p>	
	<p>CTCN driven CTCN activities</p>	<p>Eligibility of activity <u>Tool used:</u> CTCN Operational Plan</p> <p>Appropriateness, quality and effectiveness <u>Tool used:</u></p> <ul style="list-style-type: none"> • M&E Capacity Building, or • M&E Workshops, or • M&E Conferences, or • M&E Webinars. <p><u>Indicators:</u></p> <ul style="list-style-type: none"> • Indicators specified under Capacity Building, or • Indicators specified under Workshops, or • Indicators specified under Conferences, or • Indicators specified under the Webinars. 	<p>✓ Network Manager</p>

CTCN, in addition to the above indicators, will also assess the needs of any other additional indicators to be monitored based on the individual donor country/agency agreement that may have specific reporting needs and indicators that are not covered under the above indicators.

Periodic Assessment of CTCN Collaboration and Knowledge-Sharing Process and Procedures

In addition to the ongoing M&E of the CTCN’s collaboration and knowledge-sharing services and activities (as described above), a periodic assessment of the CTCN’s overall collaboration and knowledge-sharing Process and Procedures (e.g. webinars, conferences, etc.) shall be performed. This assessment will be undertaken on a 6 monthly basis with additional assessment(s) being subject to the status and proper functioning of the CTCN’s collaboration and knowledge-sharing services and their activities and any requirement for further action and correction.

The assessments will determine whether the current priorities given to the CTCN’s collaboration and knowledge-sharing result in an equitable achievement and balance of the CTCN’s services as well as a corresponding appreciation of the overall needs and interests of the CTCN Stakeholders whilst assuring CTCN’s technology neutrality.

4. Corrective Actions

As described in section 3, the CTCN’s collaboration and knowledge-sharing dashboard functionality will enable the provision of up-to-date information to be provided and visualised on the achievements and status of the CTCN’s collaboration and knowledge-sharing activities.

The CTCN’s collaboration and knowledge-sharing dashboards will alert the responsible CTC staff to possible issues and allow actions to be taken as appropriate. Such actions shall be recorded within the

KMS to allow further assessment as part of the periodic assessment of the CTCN Operational Plan. Actions could include among others the following:

- Develop specific campaigns to strengthen participation of gender and other observed unbalanced representation;
- Re-allocate resources and priorities to stimulate a more equal distribution of CTCN services and activities;
- Restructure activities to mitigate any technology bias.

5. References documents

The collection of indicators required for the CTCN's M&E and its reporting will originate from the process, procedures and tools listed below.

- Technical Assistance Process and Procedures (AB/2015/6/7.1)
- Network Application Procedure
- Incubator Programme
- CTCN Capacity Building Evaluation Form
- CTCN Workshop Evaluation Form
- Conference Evaluation Form
- CTCN Webinar Evaluation Form
- CTCN Stakeholder Engagement Form
- CTCN – Donor country/agency agreements