

CTCN Annual Operating Plan and Budget - 2019

I. Introduction

1. The Annual Operating Plan for 2019 links the Programme of Work for 2019-2022 with the activities undertaken by the CTCN to deliver on its mandate from the UNFCCC. The Plan anticipates three levels of engagement – national/sub-national, regional, global – and specifies activities and target outputs according to its three key service areas, technical assistance, capacity building and networking, and fostering access to information.
2. The mission of the CTCN remains promoting the accelerated transfer of environmentally sound technologies for low carbon and climate resilient development at the request of developing countries. It will continue to provide services along the entire technology cycle that help developing countries implement their Nationally Determined Contributions and National Adaptation Plans, and ultimately achieve the objectives of the Paris Agreement. In 2019 CTCN support will help inform the second round of Nationally Determined Contributions, National Adaptation Plans, and long-term low greenhouse gas emission development strategies due in 2020 on the role and potential of climate technologies.
3. The CTCN will focus its 2019 activities on these main priorities:
 - a. Facilitate transformative interventions that have the potential to produce quantifiable impacts and catalyse investments on climate technologies;
 - b. Build on previous successes with the financial mechanism under the Convention, to help countries implement their NDCs through engagement with financial institutions and the private sector;
 - c. Strengthen the engagement with the network and the capacity of NDEs beyond the usual services provided
4. Gender considerations will remain an important cross-cutting element of CTCN services and operations, guided by the CTCN Gender Policy and Action Plan.
5. Engagement of the private sector is a renewed priority as the CTCN seeks to scale-up the impact of its operations. In close cooperation with NDEs, the CTC will work towards addressing barriers faced by the private sector to contribute to the development and transfer of climate technologies mindful of any potential social and environmental risks. It may do so by providing technical pre-feasibility and market enabling studies as needed. CTC will create engagement opportunities for the private sector through identifying partnerships and supporting events. This approach also entails enhanced

engagement with NDEs from developed countries that can help identifying opportunities for public – private partnerships in developing countries.

6. All of these actions will be supported by increased action to monitor, evaluate, and communicate the impacts of its work. Building upon its monitoring and evaluation system, the CTCN will continue to provide and communicate quantitative and qualitative outputs that support the impact of its activities. The Centre’s technical assistance implementers will receive enhanced guidance on tracking outputs. The CTCN will provide public transparency on its methodology for calculating anticipated impact.
7. In developing the second Programme of Work and this Annual Operating Plan, the CTCN has taken into consideration the recommendations included in the independent review of the effective implementation of the Climate Technology Centre and Network commissioned by the Climate Convention Secretariat as well as the recommendations included in donor reviews¹.
8. In response to these recommendations, the following changes in operating procedures will be phased in over the course of 2019:
 - Technical assistance templates and reports will be revised in order to (1) ensure more consistent and reliable impact reporting, (2) support stronger engagement with, and feedback from, NDEs, and (3) describe how CTCN support enhances national plans.
 - Reporting procedures for CTCN activities, including to donors, will be revised in order to facilitate ease in assessing the timeliness and effectiveness of CTCN actions. This will include uniform and systematic annual reports to the Advisory Board corresponding to the Annual Operating Plans and the CTCN Programme of Work.
 - Additional attention will be given to results-based management including through building staff capacity, aligning financial planning and reporting to expected results, and further refining the theory of change to match actions to intended impacts.
 - Communication on impacts will be enhanced, and transparency of CTCN funding arrangements will be strengthened by continuing publishing funding agreements on the CTCN KMS.

¹ CTCN Case Study performed in 2016 by UN Environment Independent Evaluation Unit requested by the European Commission, and the Review of the Climate Technology Centre and Network performed in 2018 by Danish Ministry of Foreign Affairs.

II. LEVELS OF ENGAGEMENT

National Level

9. The geographic approach to its operations adopted by the CTCN in 2018 enables it to provide a single point of entry for stakeholders and country focal points, which has already increased the efficiency and coherence of the delivery of its services.
10. National Designated Entities will be engaged more regularly by the CTC and efforts made to increase their visibility at the national level, including through the Incubator Programme in Least Developed Countries and Small Island Developing States, focal points workshops, participation of CTCN team in national events and communication support. This will help ensure CTCN activities are consistent with national climate priorities and projects, including those originating from other focal points of relevant processes under the Climate Convention and the Paris Agreement. The CTCN will continue to create opportunities for National Designated Entities to discuss priorities and identify synergies with National Designated Authorities of the Green Climate Fund, and National and Operational Focal Points of the Global Environment Facility to ensure climate technology financing is accessed coherently. Catalysing large investments in climate technologies through support for bankable technology projects and enabling environment for investments from the private sector remains a priority, as does the identification and communication of co-benefits of CTCN interventions.
11. The CTCN knowledge portal (www.ctc-n.org) will maintain an updated set of information on technical assistance, capacity building, national plans, and publications searchable by country. In addition, the CTCN will support NDEs by providing communication materials (presentations, country briefs, etc.) and facilitating outreach to national media to generate awareness of the NDE's role and CTCN services at the request of the National Designated Entity.
12. The CTCN will continue to respond in a timely and appropriate manner to the requests for technical assistance from developing country NDEs. It will provide developing countries with high quality technical assistance to facilitate the transfer and dissemination of technologies for enhancing low emissions and climate resilient development in line with their national circumstances and priorities as articulated in their Nationally Determined Contributions and National Adaptation Plans. Additionally, the CTCN will encourage developing countries to consider submitting technical assistance requests in areas that advance regional priorities as identified through UNFCCC bodies and processes.
13. Consistent with COP decisions and guidance of the Advisory Board to be demand driven and user-friendly, the CTCN will continue to provide technical assistance, upon request, in the comprehensive breadth of adaptation and mitigation technologies along the entire technology cycle. These climate technologies span the continuum between 'hard' and 'soft' technologies, and include endogenous and modern technology solutions. Capacity building activities, including training of trainers in priority

sectors will remain available, and a stronger emphasis will be placed on mainstreaming and integrating climate technologies in developing countries small and medium enterprises (SMEs).

14. Fast Technical Assistance (FTA) will be prioritized in responding to requests that are strategic, time sensitive, and smaller in scope and hence shorter in duration. Fast Technical Assistance requests allows the CTC to increase the number of requests to which it can respond and therefore the number of countries it can serve. Experience has shown that the CTCN spends a large amount of time in refining requests from countries. The FTA approach can contribute to smooth that process through the help of an expert advice. Moreover, it could lead to the preparation of subsequent larger requests – including regional efforts – and to the preparation of ToRs and concept notes able to scale-up the initial CTCN intervention. CTC will start a dialogue with NDEs to determine whether the requests for technical assistance that have not been yet prioritized can be addressed through Fast Technical Assistance.

Regional Level

15. The CTCN will continue to engage National Designated Entities at the sub-regional and regional levels promoting identification of climate technology priorities and fostering peer learning. Regional partnerships will be supported to encourage south – south cooperation and the deployment of endogenous technologies. The CTCN Regional Fora for National Designated Entities will remain focused at these objectives, while looking to maximize the engagement of focal points from other processes under the convention, and the private sector. Regional knowledge networks will be facilitated through the CTCN Knowledge Management System to share best practices and lessons learnt, and maintain stakeholder engagement over-time.
16. Multi-country requests will be encouraged where conditions allow to maximize the impact of CTCN activities. The CTCN will continue to promote enabling environment at the regional level for the uptake of climate technologies and will increase its efforts to mobilize the private sector through de-risking mechanisms and facilitating credit enhancement for climate related investments.
17. The CTCN will develop and implement regionally tailored communications strategies through social media and collaborate with regional partners in order to generate awareness of CTCN services, foster engagement of stakeholders, and share climate technology information.

Global Level

18. The CTCN has been tasked by the UNFCCC to convey its national and regional experiences at the international level while engaging with the Technology Executive Committee, and other bodies and processes under the Convention and the Paris Agreement. As such, the CTCN will continue to share lessons learnt, case studies, and trends attained through its technical assistance and capacity building

activities so to inform policy guidance, and best practices in areas related to climate technology research, development, demonstration, and deployment.

19. Similarly, the Technology and Financial Mechanisms under the Convention has been requested to strengthen their collaboration so as to increase the coherence of the support provided to countries, and ensure that support for technology planning processes is available and sound technology considerations are included into the actual funded projects. The CTCN will therefore continue to promote cooperation between National Designated Entities, GCF National Designated Authorities, and GEF National and Operational Focal Points, and to engage with the Green Climate Fund through its Readiness Support Programme as a way to foster coherence of actions. Areas of cooperation with the GEF will continue to be explored also through the engagement of CTCN Advisory Board members and members of the GEF Council.
20. The CTCN will continue to refine and enforce its framework to monitor and evaluate the effectiveness of the assistance it provides to countries. The CTCN aims at ensuring its support is targeted towards activities that demonstrate concrete quantitative impact or new and transformative policies and measures. It will do so, also through a Monitor and Evaluation section in the CTCN Knowledge Management System that enables an easier and more consistent way to capture key data.
21. The CTCN will continue to collect, curate, and share best practices, case studies, and lessons learnt from a variety of stakeholders through its knowledge management system, and will work to further share the access to the wealth of information available, including by continuing to develop summaries of the technical assistances and capacity building activities it provides to countries.
22. Mobilization of resources for supporting the operation of the CTCN will also be reinforced as described in the resource mobilization strategy presented at the 11th meeting of the Advisory Board. Specific steps that will be implemented in 2019 to support strengthened resource mobilization include:
 - Strengthening cooperation with bilateral programmes and multilateral (including regional) organizations to contribute in-kind and pro bono support to CTCN activities;
 - Establishing clear annual targets for resource mobilization;
 - Identifying roles and responsibilities for resource mobilization, including through explicit resource mobilization tasks within the annual work plans of CTCN staff;
 - Creating opportunities for dialogue with funding partners to enhance transparency with regard to operations, administrations, funding agreements, and impacts.

III. ACTIVITIES UNDERTAKEN BY PRIORITY AREA

A. Technical Assistance

CTCN technical assistance will continue to support developing countries in enhancing national action on climate technology development and transfer and will strengthen the role of the private sector in climate technology financing and deployment. To this aim:

A.1 The CTCN will support countries by designing and implementing high quality, impactful technical assistance consistent with national priorities including through:

1. Analyzing NDCs, NAPs, TNAs and other national, sub-regional, and regional planning documents to consolidate technologies that developing countries have identified as carrying the potential for transformative impact;
2. Developing response plans that are well designed and appropriate to country circumstances, needs, and priorities;
3. Utilizing gender guidance and tools in developing and implementing technical assistance.

A.2 The CTCN will strengthen the engagement of the private sector in technical assistance including through:

1. Supporting private sector stakeholders in developing countries in the preparation of climate technology business plans and roadmaps as technical assistance deliverables;
2. Quantifying the economic impact of adaptation and mitigation technologies.

A.3 Developing countries will make use of CTCN technical assistance to scale up the transfer and deployment of climate technologies including through:

1. Making use of technical assistance deliverables to produce high quality, investible proposals;
2. Participating in the exchange of experiences on climate technology policy and regulations, benchmarking, and national standards;
3. Preparing feasibility studies and supporting piloting of appropriate technologies.

B. Strengthening Networks, Partnerships and Capacity Building

The CTCN will enhance the capacity of NDEs and other stakeholders to develop and transfer climate technologies and access global mechanisms to support climate technology development and transfer. To this aim:

B.1 The CTCN will enhance partnerships to promote finance for climate technologies including through:

1. Engaging with bilateral and multilateral funding agencies through the development of new partnerships on priority mitigation and adaptation themes;
2. Supporting collaboration between NDE's, NDAs and other climate focal points to ensure coherence in climate technology financing.

B.2 The CTCN will strengthen stakeholder engagement through focused communication and network activities including:

1. Producing new communication material from technical assistance targeting a private sector audience such as executive briefs, investment notes, and blog posts from business leaders;
2. Identifying and sharing examples of new market creation through its technical assistance;
3. Supporting the collection and availability of case studies on benefits of investment in climate action for businesses/ institutions;
4. Supporting a new community of practice among research-performing organizations through targeted network events with the objective of stimulating knowledge sharing.

B.3 Strengthening collaboration with relevant climate change processes including through:

1. continuing explore ways to strengthen collaboration between the Financial and Technology Mechanisms to continue building trust and operational relationships;
2. Mapping relevant processes and partnerships with the potential for stronger collaboration to facilitate developing countries' access to climate technology finance.

C. Fostering collaboration through access to information

The CTCN will continue to foster collaboration and information sharing on climate technologies. To this aim:

C.1 The CTCN will maintain the CTCN knowledge portal (www.ctc-n.org):

1. Providing an updated set of information on CTCN technical assistance, capacity building, publications and webinars;
2. Gathering, curating, and sharing climate technology best practices, case studies, national plans, and publications through collaboration with key knowledge partners;
3. Facilitating gender-responsive climate action through collaboration with key gender and climate stakeholders; making available additional relevant information resources through the existing online gender hub in the Technology section of the CTCN knowledge portal; and providing guidance on gender mainstreaming.

C.2 Delivering strengthened communication including through:

Articulating an approach to regional stakeholders (governments, civil society, private sector, and research performing organizations) engagement that provides diversity of views and expertise;

1. Implementing regionally tailored communications strategies utilizing social media and collaboration with regional partners;
2. Sharing information on climate technologies and generating awareness of CTCN services at regional meetings.

I. Target indicators for 2019

Output	Target
A. Technical Assistance	
TA requests with response plans under design	30-40
TA requests under implementation and concluded	25-35
Fast Technical Assistance implemented	25-40
B. Outreach, Networking and Stakeholder Engagement	
Number of thematic events hosted	4-6
Number of Private Sector Engagement Events hosted	10-12
Number of social media followers	2500
Number of network members with gender expertise	20-25
Number of trained CTCN NDEs	80-100
New Network institutions	60-75
Number of TA requests implemented by Network members	20-25
CTCN-produced materials on technical assistance	25-30
C. Knowledge Management, peer learning and capacity building	
Regional Forums organized	3-5
Thematic programme training sessions organized	10-12
National events supported	20-25
Online tools and information materials, including coverage of lessons and best practices captured	3000
Number of knowledge partners contributing to KMS	25-30
Number of relevant online resources incorporating gender	100
Number of trained CTCN clients	500
Annual number of KMS site visits	100000
Webinars organized	10-12
Number of new countries enrolled in the Incubator Programme	10
Number of Seconddees	4

I. Draft 2019 CTCN Budget

The 2019 budget of USD 10.31 million presented below is based upon financial resources currently available (USD 11.6 million in carry over from 2018) and signed agreements for USD 2.7 million for a total of USD 14.3 million.

Main Component	2018 BUDGET (USD)	2019 BUDGET (USD)
1. Technical assistance in response to country requests		
Requests coordination, refinement, support	540 000	590 000
Requests implementation (including Fast Technical Assistance)	4 360 000	4 460 000 ²
TOTAL	4 900 000	5 050 000
2. Outreach, networking and stakeholder engagement		
Outreach and Communication	120 000	200 000
CTCN NDEs and Networking Engagement	410 000	550 000
Stakeholder Engagement	180 000	180 000
TOTAL	710 000	930 000
3. Knowledge Management, peer learning and capacity building		
KMS Technical and Content Development	180 000	300 000
KMS Content Development	290 000	
Capacity Building activities and material	470 000	470 000
Monitor and Evaluation	60 000	60 000
TOTAL	1 000 000	830 000
4. CTC operation costs		
CTC operations	2 300 000	2 200 000
AB Meetings and other UN meetings	200 000	200 000
TOTAL	2 500 000	2 400 000
GRAND TOTAL³	9 110 000	9 210 000
ESTIMATED PROGRAMME SUPPORT COST	850 000	1 100 000
GRAND TOTAL INCLUDING PSC	9 960 000	10 310 000

² This includes approximately USD500,000 for FTAs

II. Draft 2019 CTCN Budget – including external support: High Impact

Main Component	Possible GCF/AF support to countries via CTCN ¹ (in USD)	Estimated funds from pro bono support ¹ (in USD)	2019 BUDGET (in USD)
1. Technical assistance in response to country requests			
Requests coordination, refinement, support			590 000
Requests implementation (including Ask an Expert Service)	4 000 000	1 000 000	9 460 000
TOTAL	4 000 000	1 000 000	10 050 000
2. Outreach, networking and stakeholder engagement			
Outreach and Communication			200 000
CTCN NDEs and Networking Engagement			550 000
Stakeholder Engagement			180 000
TOTAL			930 000
3. Knowledge Management, peer learning and capacity building			
KMS Technical and Content Development			300 000
KMS Content Development			
Capacity Building activities and material			470 000
Monitoring and Evaluation			60 000
TOTAL			830 000
4. CTC operation costs			
CTC operations			2 200 000
AB Meetings and other UN meetings			200 000
TOTAL			2 400 000
GRAND TOTAL	4 000 000	1 000 000	14 210 000

1. *If additional funds are secured to allow for additional activities under the High Impact Scenario, the secretariat shall be guided by these estimates. Assumptions have been made based on CTCN operations to estimate possible funding from other sources, including AF and GCF. The funding decision making process rests with the funding sources. Additional activities under the High Impact Scenario include the following activities, the first steps of which will be taken under the approved budget:*
- *Scale up and deployment of priority technologies on a regional basis via the private sector.*
 - *Private sector innovation programme and awards and SME technology clinics at national level and sub regional forums, Incubator programme for SIDS and more thematic capacity building modules.*
 - *This projection includes significant potential funding (±\$2.5m/year) from the Adaptation Fund to serve countries as the small grants aggregator for its innovation facility. At the time of AB12 this proposal has been submitted but not approved.*