

# Technology Needs Assessment Phase V Project

Review PIF and Make a recommendation

## Basic project information

**GEF ID**

11099

**Countries**

Global (Azerbaijan, Bahrain, Cook Islands, Eritrea, Ghana, Mali, Micronesia, Mongolia, Morocco, Peru, Philippines, Senegal, Sierra Leone, Tunisia, Venezuela, Cote d'Ivoire, Thailand)

**Project Name**

Technology Needs Assessment Phase V Project

**Agencies**

UNEP

**Date received by PM**

4/6/2023

**Review completed by PM**

5/11/2023

**Program Manager**

Patricia Marcos Huidobro

**Focal Area**

Climate Change

**Project Type**

## GEF-8 ENABLING ACTIVITY REVIEW SHEET

### Section I - Enabling Activity Summary

#### Funding elements.

**Is the enabling activity aligned with the relevant GEF funding elements in Table A, as defined by the GEF-8 Programming Directions? Is the General Enabling Activity Information table correctly populated?**

#### Secretariat's Comments

**9.5.2023 PM:**

**Cleared.**

**17.4.2023 PM:**

**No.** Please address the following comments:

- In table "A: Funding Elements" under the GEF-8 Program column, please note that **not** all the project resources are CCM-EA. Only set-aside resources shall be tagged as "CCM-EA", all other resources shall be tagged as CCM-STAR Allocation. Please update Table A by adding another row for CCM STAR Allocation resources.

#### Agency's Comments

04.05.2023 UNEP:

•As per discussion, the portal does not allow us to do the split. Therefore, even though this is not accurate, we are keeping the whole financing amount of \$5,100,000 under the CCM-EA line.

#### Cost Ranges.

**If there was a deviation in the cost range, was this explained?**

Secretariat's Comments

**17.4.2023 PM:**

**Yes.** The total cost per TNA is within the US\$300 k limit as indicated by the GEF Sec. As previously agreed and in line with practices from previous global TNA projects, PMCs have been estimated up to 10% of the subtotal project costs (same as for medium-sized projects), based on the fact that the project is covering multiple countries and each country needs to prepare its own cooperation agreement and workplan. This has been properly justified in the PIF.

Agency's Comments

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**Enabling activity summary.**

**Is the enabling activity summary clear? Are the components in Table B and as described in the enabling activity request sound, appropriate, and sufficiently clear to achieve the project objectives?**

Secretariat's Comments

**9.5.2023 PM:**

**Cleared.**

**17.4.2023 PM:**

**No.** Please address the following comments:

- All Letters of Endorsement have the EA Title "Technology Needs Assessment Phase V Project". In order to avoid confusion with previous phases, please add "Phase V Project" in the Enabling Activity Summary table (see screenshot below):

## SECTION 1: ENABLING ACTIVITY SUMMARY

Enabling Activity Title: ⓘ	Technology Needs Assessment	
Country(ies): ⓘ	Global, Azerbaijan, Bahrain, Cook Islands, Eritrea, Ghana, Mali, Micronesia, Mongolia, Morocco, Peru, Philippines, Senegal, Sierra Leone, Tunisia, Venezuela, Cote d'Ivoire, Thailand	GEF Enabling Activity ID: ⓘ

- Kindly elaborate more on the outcomes, including activities envisioned under each outcome such as consultations, dissemination workshops, etc.

- The proposal would benefit from more detailed information at the country level, for instance if some countries have already identified a sector/s they would like to focus on (i.e. mitigation versus adaptation technologies,), main stakeholders (including NDEs of the CTCN), whether a country has had a previous TNA and what are the lessons learned, etc. If not available at this stage, this can be provided at CEO Endorsement stage.

- Please elaborate further on capacity building activities envisioned under the proposal, particularly with regards to building capacity in the local teams, i.e. trainings, international workshops, South-South exchanges, publications, etc.

- The proposal would also benefit from an explanation on the key new features of the new Phase V (when compared to other phases) what are the lessons learned from previous phases and how this project would be built from them.

- Please include a reference to the CTCN guidance on gender-responsive TNA (<https://www.ctc-n.org/resources/guidance-gender-responsive-technology-needs-assessment>) and other related work, including in the context of the UNFCCC, on gender-responsive technology/ies.

### Agency's Comments

04.05.2023 UNEP:

1. Title has been completed with reference to the phase.
2. Text has been added in section B to address this. The contribution to the single outcome is covered under the description of the two outputs.
3. The identification of each specific sector in each country is part of the TNA consultative and country-drive process. Some additional general elements have been added at this stage in the summary.
4. Additional information regarding the planned capacity building has been added under Output regarding revision updating of guidance material, simplified templates, targeted training workshops for national teams, global experience sharing workshops for teams across TNA phases. All guidance material and related thematic documents, such as briefing notes, success stories, perspective reports, are made available on the TNA website [www.tech-action.org](http://www.tech-action.org).

5. Information on lessons learned from previous phases are included under Output 1. Lessons learned are continually incorporated, along with emerging issues, for example Concept Notes, Gender Issues, Transformational Change. In addition, in collaboration with the TEC and CTCN, gaps in the guidance material are being assessed and this will form the basis of updating within TNA V. Envisaged new features include: new guidance on NDCs, LTS, transformational change, digital technology solutions, etc. to respond to key emerging issues in the climate change regime. Simplified templates for reports and procedures will also be developed, responding to lessons learned in previous phases. Finally, a more flexible and modular approach is planned, taking account of the different starting points of countries in this phase.
6. A reference is included in footnote 1 and also referenced under Output 2. It is in fact not a CTCN guidance, but a guidance on undertaking gender-responsive TNAs, developed under the Global TNA Phase III project, that CTCN has uploaded to its website.

## **Section 2 - Enabling Activity Supporting Information**

### **Eligibility Criteria.**

**Is this enabling activity eligible for GEF funding?**

### **Secretariat's Comments**

**9.5.2023 PM:**

**Cleared.**

**17.4.2023 PM:**

**Yes, with comments.** In addition, please make sure the text highlights that the proposed project is also in line with Objective 2.2. "Support relevant Convention obligations and enabling activities under Pillar II". Please check the GEF's Programming Directions for more information (page 137) [https://www.thegef.org/sites/default/files/2023-01/GEF-8\\_Programming\\_Directions.pdf](https://www.thegef.org/sites/default/files/2023-01/GEF-8_Programming_Directions.pdf)

### **Agency's Comments**

04.05.2023 UNEP:

Thank you. This has been added in section 2.C Eligibility Criteria.

### **Institutional framework.**

**Are the institutional arrangements for implementation adequately described?**

## Secretariat's Comments

**9.5.2023 PM:**

**Cleared.**

**17.4.2023 PM:**

**No.** Please elaborate further on the firewall between UNEP as the Implementing Agency, UNEP-CCC as the Executing agency and the National teams, and list all the responsibilities of each of the institutions involved. Also, please explain that countries have already agreed via a memorandum of understanding/contract with UNEP-CCC to be the executing agency of the project, and how much UNEP-CCC will be charging for the execution services provided (this shall be also reflected in the budget table, which needs to be updated to use the GEF's template).

## Agency's Comments

04.05.2023 UNEP:

The institutional framework (section 2.D) has been revised to explicitly indicate the different reporting and financial structures for UNEP as implementing agency through the Climate Change Mitigation Unit and UNEP as executing agency through UNEP-CCC with UNOPS management support.

The list of responsibilities for IAs, EAs, National and regional Centres have been added in section 2.D.

All countries have been informed about the detailed budget execution and institutional arrangements of the TNA V project. As it has been done in previous phases, the legal agreement (Project Cooperation Agreement) will be signed during the implementation phase as one of the first steps of the project. UNEP-CCC receives execution support from UNOPS, this implies a 3% Project Management Cost. This line is visible in the new budget template.

**Monitoring and Evaluation.**

**Does the project include a budgeted M&E Plan?**

## Secretariat's Comments

**9.5.2023 PM:**

**Cleared.**

**17.4.2023 PM:**

**No.** Please add a budgeted M&E Plan. See below example for reference.

<b>Monitoring and Evaluation Plan and Budget:</b>		
<b>GEF M&amp;E requirements</b>	<b>Indicative costs (US\$)</b>	<b>Time frame</b>
<b>Inception Workshop</b>		
<b>Inception Report</b>		
<b>Monitoring of indicators in project results framework</b>		
<b>Supervision missions</b>		
<b>End of project report</b>		
<b>TOTAL indicative COST</b>		

**Agency's Comments**

04.05.2023 UNEP:

A detailed M&E plan has been prepared, in line with the GEF monitoring and evaluation policy and UNEPs policy and evaluation manual. The table with indicative costs has been added in the M&E section.

**Section 3. Information Tables**

**GEF resource availability.**

**Is the proposed GEF financing in Table F (including the Agency fee) in line with GEF policies and guidelines?**

**Secretariat Comment at PIF/Work Program Inclusion**

**9.5.2023 PM:**

**Cleared.**

**17.4.2023 PM:**

**No.** Please remove all decimal places and round financing numbers in all tables in the Portal entry, i.e. Azerbaijan. Please update the Agency Fee for Azerbaijan from 28,499.96 to

28,500.00 to make it consistent with the Letter of Endorsement, and ensure all the numbers add up.

**Agency Response**

04.05.2023 UNEP:

-As per discussion, the portal blocks if we round up the amount for Azerbaijan. As agreed, we will keep the decimals to allow the project to be submitted.

**Are they within the resources available from (mark all that apply):**

**STAR allocation?**

Secretariat's Comments

**17.4.2023 PM:**

**Yes.**

Agency's Comments

**Focal Area allocation?**

Secretariat's Comments

**17.4.2023 PM:**

**N/A.**

Agency's Comments

**LDCF under the principle of equitable access?**

Secretariat's Comments

**17.4.2023 PM:**

**N/A.**

Agency's Comments

**SCCF (Adaptation or Tech Transfer)?**

Secretariat's Comments

**17.4.2023 PM:**

**N/A.**



Agency's Comments

**Focal Area Set Aside?**

Secretariat's Comments

**17.4.2023 PM:**

**Yes.** Focal Area set-aside resources are available only for LDCs and SIDSs that haven't had a TNA supported by the GEF yet.

Agency's Comments

**Rio Markers.**

**Are the Rio Markers for CCM ,CCA, BD and LD presented?**

Secretariat's Comments

**9.5.2023 PM:**

**Cleared.**

**17.4.2023 PM:**

**Yes, with comments.** Please provide a justification on why Rio Markers CCA, Biodiversity and Desertification has been marked as 1. Is there a preliminary list of sectors the participating countries have shown interest in? Overall, the proposal would benefit from an explanation on the sectors the different countries plan to focus on, as well as the split between climate change mitigation and adaptation technologies (if available).

Agency's Comments

04.05.2023 UNEP:

Rio markers Biodiversity and Desertification are marked as 0. The Climate Change Adaptation is 1 since TNA reports include both mitigation and adaptation, the exact split depends on each country and will be decided during project implementation as part of the country-driven process. Some additional information based on previous phases has been added in the PIF, section 1.B Enabling Activity summary.

**Country endorsement.**

**Has the project been endorsed by the country's GEF Operational Focal Point at the time of the EA submission and has the name and position been checked against the GEF database? Are the endorsed amounts consistent with the amounts included in Portal**

Secretariat's Comments

**9.5.2023 PM:**

**Cleared.**

**17.4.2023 PM:**

**No.** Please address the following comments and provide updated Letters of Endorsement when applicable:

- **Cote d'Ivoire.** Please update the letter to reflect the STAR resources are coming from the Biodiversity Focal Area (BD) instead of CC, to make it consistent with the information on the PIF.

- **Cook Islands.** Please update the Letter to reflect the CC resources are set aside "CC Set Aside"

•- **Bahrain.** Please update the Letter to reflect the CC resources are set aside "CC EA Set Aside"

•- **Azerbaijan.** Please update the Letter to reflect the CC resources are set aside "CC STAR Allocation"

•- **Venezuela.** Please update the Letter to reflect the CC resources are set aside "CC STAR Allocation"

•- **Thailand.** Please update the Letter to reflect the CC resources are set aside "CC STAR Allocation"

•- **Sierra Leone.** Please update the Letter to reflect the CC resources are set aside "CC EA Set Aside"

•- **Peru.** Please update the Letter to reflect the CC resources are set aside "CC STAR Allocation"

•- **Morocco.** Please update the Letter to reflect the CC resources are set aside "CC STAR Allocation"

•- **Mongolia.** In the the budget table the following fields are empty "Source of funds", "GEF agency" and "Focal Area Source".

•- **Senegal.** Please update the letter to reflect the STAR resources are coming from the Biodiversity Focal Area (BD) instead of CC, to make it consistent with the information on the PIF.

**Agency's Comments**

04.05.2023 UNEP:

Thank you. Revised letters have been uploaded and Senegal and Cote d'Ivoire indicate the use of the BD in the PIF as well.

**Response to Comments**

**Are all the comments adequately responded to? (only as applicable)**

**Gef Secretariat comments**

Secretariat's Comments

**17.4.2023 PM:**

N/A.

Agency's Comments

**Other Agencies comments**

Secretariat's Comments

**17.4.2023 PM:**

N/A.

Agency's Comments

**Project Budget Table.**

**Is the project budget table attached? Are the activities / expenditures reasonably and accurately charged to the three identified sources (Components, M&E and PMC)?**

Secretariat's Comments

**9.5.2023 PM:**

**Cleared.**

**17.4.2023 PM:**

**No.** The project budget table does not use the GEF's template. Please update accordingly by using the following template: <https://www.thegef.org/documents/gef-project-budget-template>

Agency's Comments

04.05.2023 UNEP:

The budget has been transferred to the GEF template.

**Environmental and Social Safeguards.**

**If there are screening documents or other ESS documents available, have these been attached?  
(only as applicable)**

Secretariat's Comments

**17.4.2023 PM:**

N/A.

Agency's Comments

16.05.2023

The PPO Comments under Recommendation addressed.

**GEFSEC DECISION  
RECOMMENDATION.**

**Is CEO clearance/ approval recommended?**

Secretariat's Comments

**16.5.2023 PM:**

**Cleared.**

**16.5.2023 PM.**

**Not cleared.** Please remove the category "Other Operational Costs" and replace it by staff or consultants as applicable. Also, please remove all the yellow highlights in the document so we can have a final clean version.

**13.5.2023 PPO Comments:**

1. Budget table: UNOPS is charging 3% of the PMC for operating costs. Please note that GEF resources can't cover overhead. Cost from the implementing agency shall be covered with the Agency fee. Please remove this budget line.
2. Decimals pose a difficulty for financial commitments and further reconciliations, so if you cannot round up to \$328,500, please round down to \$328,499 and remove decimals

**9.5.2023 PM:**

**Cleared.**

**17.4.2023 PM:**

**Please address the comments above.**

**ADDITIONAL COMMENTS:**

**Additional recommendations to be considered by Agency at the time of CEO endorsement/approval.**

Secretariat's Comments

**11.5.2023 PM:**

**The PIF is cleared.** Please see below some recommendations for the consideration of the Agency at CEO Endorsement Stage:

- **CTCN collaboration.** At CEO Endorsement please consider strengthen the relationship with the CTCN, beyond its current role in the Steering Committed of the Global TNA Project, and identify opportunities for collaboration between the proposed project and the CTCN. For instance, through collaboration in specific countries where the CTCN already has an on-going commitment/collaboration.

- **Country engagement.** While we understand that identification of specific sectors in each country is part of the TNA consultative and country-driven process, we encourage the Agency to start engaging the participating countries in the interim between the PIF approval and the CEO Endorsement. At CEO Endorsement, the document would benefit from more detailed information on the priority sectors and areas for each country based on consultations, national policies, etc.

**REVIEW DATE(S)**

**PIF Review**

**Agency Response**

<b>First Review</b>
<b>Additional Review (as necessary)</b>
<b>Additional Review (as necessary)</b>
<b>Additional Review (as necessary)</b>

PIF Review

Agency Response

**Additional Review (as necessary)**