

CDM-EB82-AA-A07

Concept note

Independent third-party evaluation of regional collaboration centres (RCCs)

Version 01.0



United Nations
Framework Convention on
Climate Change

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1. Procedural background

1. The clean development mechanism (CDM) has evolved under the guidance of Parties to the Kyoto Protocol. A consistent concern of Parties is the lack of equity in regional distribution of CDM projects. The underlying causes for this are many and complex. One of the causes can be attributed to disparity in institutional and human capacity. In order to help alleviate this concern, the secretariat in consultation with the CDM Executive Board (the Board) agreed to set up regional collaboration centres (RCCs) in various regions around the world with the aim of helping Parties, stakeholders and project participants overcome barriers to the development and implementation of CDM projects including programme of activities (PoAs) and guiding them through various steps of the CDM project cycle for registration by the Board. This was welcomed by the Parties at the eighth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol. Currently four RCCs are in operation in: Lome, Togo; Kampala, Uganda; St. George's, Grenada and Bogota, Colombia. The RCC in Lome was the first to start operation in 2013 and the RCCs at other places were set up thereafter.
2. The Board at its eighty-first meeting expressed a need to investigate whether the work conducted by the RCCs as mandated by the Parties is meeting the objective to enhance the use of the CDM for voluntary purposes. Therefore, while approving the management plan (MAP) for 2015 the Board decided to conduct an evaluation of the RCCs that is independent of the secretariat and the Board.

2. Project aims

3. The objective of the evaluation is to provide the Board with an independent appraisal of the work of the RCCs with regard to their overall effectiveness and efficiency of operations. It shall identify the areas of work that are particularly effective, which are comparatively less effective, and how the work is perceived by the stakeholders involved as well as the impact of the RCCs in the region. It shall provide insights into the present operations of the RCCs as well as recommendations on how the operation of RCCs should progress into the near future.

3. Key issues and proposed solutions

4. The terms of reference (ToR) drawn up for hiring the consultant are contained in the appendix to this note for approval by the Board. The ToR as prepared are broad-based so that the consultant is not constrained and is free to prepare and submit his/her own project plan for an independent appraisal of the RCCs. It is proposed that the ToR would be advertised for a period of two weeks through the secretariat website and other sources to reach a wider audience. The secretariat shall prepare a shortlist of eligible consultants and present it to the Board for final selection. It is estimated that the consultant will require 30 person-days to complete this assignment and shall be paid as per standard terms of hiring of consultants by the secretariat. Travel and subsistence allowance will be arranged by the secretariat as per rules. Further, in order to ensure transparency and avoid any conflict of interest, the secretariat's role would be focussed on coordination with the consultant and monitoring the timelines and work. The secretariat shall make available to the Board the report and other documents as prepared by the consultant in an impartial manner.

4. Desired outcomes and impacts

5. The final report of the consultant would give the Board an independent appraisal of the work of the RCCs for further consideration and as an aid to future strategic planning of RCC activities.

5. Product/milestones and timelines

Table 1. Products/milestones and timelines

Product/Milestone	February	March	April	May	June	July	August	September
	EB82		EB83	EB84		EB85		EB86
Initial concept note and ToR	Board approval							
Selection of consultant			Final selection by Board					
Project plan submission to secretariat by consultant				by 30 May				
Project plan electronic approval by Board					by 20 Jun			
Project plan implementation						23 Jun to 31 Aug		
Consultant's final report submission							By 12 Sep	Board's consideration at EB 86

6. Recommendations to the Board

6. The secretariat recommends that the Board:
 - (a) Approve the work proposed under this project;
 - (b) Approve the ToR as attached to this concept note;
 - (c) Provide guidance as required.

Appendix. Evaluation of the regional collaboration centres (RCCs) of the UNFCCC secretariat - Terms of reference (ToR)

1. Background

1. The clean development mechanism (CDM) was established by the Kyoto Protocol to the United Nations Framework Convention on Climate Change, with the purpose of assisting developed countries to achieve their emission reduction targets in a flexible and cost effective manner while supporting the sustainable development of developing countries. Since its inception, the CDM has evolved under the guidance of Parties to the Kyoto Protocol.
2. A consistent concern of Parties is the lack of equity in the regional distribution of CDM projects. The underlying causes for this are many and complex. One of the causes can be attributed to disparity in institutional and human capacity. In order to help alleviate this concern, the secretariat in consultation with the CDM Executive Board (the Board) agreed to set up regional collaboration centres (RCCs) in various regions around the world with the aim of helping Parties, stakeholders and project participants overcome barriers to the development and implementation of CDM project activities including programme of activities (PoAs) and guide them through various steps of the CDM project cycle for registration by the Board. This was welcomed by the Parties at the eighth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol.
3. Currently four RCCs are in operation in: Lome, Togo in partnership with Banque Ouest Africaine de Développement (BOAD); Kampala, Uganda in partnership with East African Development Bank (EADB); St. George's, Grenada in partnership with Windward Islands Research & Education Foundation (WINDREF) and in Bogota, Colombia in partnership with Corporacion Andina de Fomento. The RCC in Lome was the first to start operation in January 2013 with Kampala following in May 2013; St George's in July 2013 and Bogota towards the end of 2013.

2. Purpose

4. The Board desires an independent evaluation of the work conducted by the RCCs with regard to their overall effectiveness and efficiency of operations. It shall identify the areas of work that are particularly effective, which are comparatively less effective, and how the work is perceived by the stakeholders involved as well as the impact of the RCCs in the region. It shall provide insights into the present operations of the RCCs as well as recommendations on how the operation of RCCs should progress into the near future.

3. Project description

5. Project scope:

The scope of the appraisal should cover the following objectives of RCCs:

- (a) Providing support:

- (i) Provide direct support to existing and potential future CDM projects and PoAs; identification of new project activities for inclusion in the pipeline;
 - (ii) Identifying any barriers faced by stakeholders (e.g. project participants, designated national authorities; designated operational entities etc.) involved in CDM processes and assisting them to eliminate barriers where possible;
 - (iii) Supporting the development of standardized baselines;
 - (iv) Supporting the implementation of CDM tools (e.g. sustainable development co-benefits tool and CDM Loan Scheme);
 - (b) Building partnerships and capacity:
 - (i) Dissemination of knowledge to stakeholders regarding the CDM and its processes via outreach activities to increase awareness, improve the integration of CDM into national climate policy;
 - (ii) Engagement with financial institutions (such as regional banks) that support climate change mitigation activities and promote consideration of the CDM;
 - (iii) Building capacity through establishing networks and partnerships with other local and regional institutions and agencies;
 - (c) Potential new work areas:
 - (i) Recommendations, if any, on new areas of work RCCs should be doing.
6. Each RCC differs in their prioritization of the above objectives according to the profile and needs of the region they support.
 7. Guidance on possible indicators that may be used to measure the accomplishment of the objectives is described in attachment to this document.
 8. Project implementation: The work will be undertaken in three stages. The stages and associated deliverables are as follows:
 - (a) **Initiation stage** it is expected that the consultant shall make initially a project plan for implementation based on suitable interaction with relevant secretariat staff as well as through interaction with the Chair and Vice-Chair of the Board electronically. The project plan shall include a detailed scope of work as well as the criteria used to measure the same. The secretariat shall obtain electronic approval of the project plan from the Board and handover to the consultant to proceed;
 - (b) **Implementation stage** once the project plan is approved by the Board, the consultant shall interact with the secretariat staff to obtain all the relevant information deemed necessary to execute the project. The consultant shall visit any two of the four RCC sites and discuss/interview RCC staff as well as relevant stakeholders. The consultant may also interact electronically with staff/stakeholders of RCCs not visited. RCC staff members and the secretariat shall provide all necessary assistance and logistical support required;

- (c) **Closure stage** the consultant shall prepare a final report that comprises of facts; observations, conclusions and recommendations in line with the project plan as approved by the Board.

4. Key Outputs/Activities

Output/Activity	Date	Accepted By
Project plan	30 May 2015	Electronic approval by Board by 20 June 2015
Implementation of the project plan	23 Jun– 31 August 2015	Secretariat shall coordinate the activities of the consultant and keep the Chair/Vice-Chair of the Board informed
Final report with recommendations	12 September 2015	For consideration by the Board at EB 86 (September 2015).

5. Timeframe

9. The project is expected to start on 20 February 2015 with the approval of the terms of reference at EB 82 and end on 12 September 2015 with the final report as submitted by the consultant and accepted by the Chair/Vice-Chair on behalf of the Board. The total work is estimated to be 30 person-days and the work will be undertaken in three stages.

6. Duty station and places of travel

10. The duty station of the consultant shall be his/her normal place of work. However, the consultant would be required to visit the secretariat in Bonn and undertake missions to RCCs. Travel and subsistence allowance will be arranged by the secretariat as per current secretariat practice.

7. Requirements

- (a) First level university degree (Bachelor's or equivalent) in economics, finance, engineering, environmental science or a related discipline;
- (b) At least 10 years of professional relevant experience that includes coordination and project management;
- (c) Work experience in Kyoto Protocol project-based mechanisms, (CDM and/or joint implementation), including PoAs and use of CDM methodologies is essential;
- (d) Work experience in a developing country/ies is essential;
- (e) Proficiency in written and spoken English is essential;
- (f) Proficiency in other United Nations languages besides English (such as Spanish and French) will be an asset;
- (g) Presentation and report writing skills; research skills; consulting or advisory skills.

Attachment. Additional information for the consultant

1. Initiation stage: (5–7 days)

1. The approach and methodology detailed in the project plan should be cost-effective. The time frame for all activities as indicated is tentative and only an estimate. This can vary depending upon the project plan.
2. It is expected that the project plan shall include the following:
 - (a) The overarching approach and methodological framework (e.g. data/ information collection, desk reviews, case study, surveys, statistical analysis, interviews etc.);
 - (b) Expected data collection and analysis methods;
 - (c) Suitable indicators to measure performance, perceptions and impact;
 - (d) List of resources required (e.g. back up support);
 - (e) Meetings or interactions expected with staff and stakeholders and their role in the process.

2. Implementation stage: (15–20 days)

3. The consultant shall ensure the following principles are complied with:
 - (a) **Consistency:** Evaluation criteria should be applied consistently;
 - (b) **Transparency:** Information shall be presented in an open, clear, factual, neutral and coherent manner based on documentary evidence;
 - (c) **Impartiality, independence and safeguarding against conflicts of interest:** The consultant shall remain free from bias and any real or potential conflict of interest. The consultant shall work in a credible, independent, non-discriminatory and transparent manner. The consultant shall take measures to safeguard and demonstrate impartiality;
 - (d) **Accuracy:** All observations, findings; recommendations and conclusions shall be based upon objective evidence.

3. Closure stage: (8–10 days)

4. The final report shall be in an easily understandable format and should clearly elaborate the reasons for the findings and conclusions. All background analysis and data generated during the appraisal should be delivered to the secretariat in a well-documented, usable format to ensure their further use.

4. Possible indicators

5. Possible indicators to measure accomplishment of objectives (not exhaustive):

- (a) The number of projects and programme of activities (PoAs) to whom support was provided to and whether they entered the clean development mechanism (CDM) pipeline;
- (b) The number and nature of standardized baselines developed and being developed. How this has affected the CDM pipeline of projects;
- (c) The number of CDM project participants that used the sustainable development co-benefit tool or are in active engagement with regional collaboration centres for possible use of the tool;
- (d) Number of countries that integrated CDM into national policies;
- (e) The number of CDM projects, including PoAs/standardized baselines financed as a result of active engagement with financial institutions;
- (f) Improvement in competence of local/regional institutions/stakeholders to build capacity for CDM.

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Document information

<i>Version</i>	<i>Date</i>	<i>Description</i>
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