

Analysis of possible gaps in the procedure for the call for proposals and criteria to be used to evaluate and select the host of the Climate Technology Centre and Network and sample documentation for the call for proposals

Background paper

Summary

During the third part of the fourteenth session of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention, Parties deliberated on the procedure for the call for proposals and the criteria to be used to evaluate and select the host of the Climate Technology Centre and Network (CTCN). At the informal group meeting, Parties requested the secretariat to undertake two specific tasks to support their further deliberation on this matter at the fourth part of the fourteenth session of the AWG-LCA to be held in Durban, South Africa. This paper contains an analysis of possible gaps in the procedure for the call for proposals and criteria to be used to evaluate and select the host of the CTCN as contained in the current draft text for a draft decision* and sample documentation for the call for proposals for hosting the CTCN, as requested. This paper has been prepared and made available on the UNFCCC website under the guidance of the facilitator of the informal group on technology development and transfer under the AWG-LCA.

* <http://unfccc.int/files/meetings/ad_hoc_working_groups/lca/application/pdf/20111007_tch_1300.pdf>.

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I. Introduction

A. Background

1. The Conference of the Parties (COP), by its decision 1/CP.16, decided to establish a Technology Mechanism, comprising a Technology Executive Committee and a Climate Technology Centre and Network (CTCN).¹
2. The work programme of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention (AWG-LCA) in 2011 on technology development and transfer highlights the importance of continued dialogue among Parties in 2011 through the AWG-LCA, including on the procedure for the call for proposals and the criteria to be used to evaluate and select the host of the CTCN, with a view to the COP adopting a decision at its seventeenth session, in order to make the Technology Mechanism fully operational in 2012.
3. During the third part of the fourteenth session of the AWG-LCA (AWG-LCA 14.3) Parties deliberated on the procedure for the call for proposals and the criteria to be used to evaluate and select the host of the CTCN. The progress made by Parties during AWG-LCA 14.3 has been captured in the draft text for a draft decision on technology development and transfer under the AWG-LCA.²
4. At the informal group meeting, Parties requested the secretariat to undertake two specific tasks under the guidance of the facilitator of the informal group to support their further deliberation on this matter at the fourth part of the fourteenth session of the AWG-LCA to be held in Durban, South Africa.

B. Scope of the paper

5. This paper contains an analysis of possible gaps in the procedure for the call for proposals and criteria to be used to evaluate and select the host of the CTCN as contained in the current draft text for a draft decision (appendix I). The draft decision referred to in paragraph 3 above (version of 6 October 2011) has been used as the basis for this analysis.
6. In addition, the paper provides sample documentation for the call for proposals for hosting the CTCN (appendix II). The documentation for the call for proposals refers to specific sections of the draft text for a draft decision currently being negotiated under the AWG-LCA. The final call for proposals will be prepared and issued in the light of the agreed outcome in Durban on this matter.

¹ Decision 1/CP.16, paragraph 117.

² <http://unfccc.int/files/meetings/ad_hoc_working_groups/lca/application/pdf/20111007_tch_1300.pdf>.

Appendix I

Possible gaps in the procedure for the call for proposals and criteria to be used to evaluate and select the host of the CTCN as contained in the draft text for a draft decision on technology development and transfer under the AWG-LCA (version of 6 October 2011 @ 13:00)

This note was prepared by the secretariat in response to requests by Parties during the third part of the fourteenth session of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention (AWG-LCA). The possible gaps that have been identified and analysed in this note are presented in two general categories: (i) gaps related to the overall call for proposals and the selection process; and (ii) gaps related to the criteria to be used to evaluate and select the host of the Climate Technology Centre and Network (CTCN) (hereinafter referred to as "evaluation criteria") and information required to be included in the proposals (hereinafter referred to as "information requirements").

Possible gaps related to the overall call for proposals and the selection process

1. **Designated group to evaluate the proposals.** If Parties decide that a designated group should be put in place for the evaluation of the proposals to host the CTCN, they may wish to provide further clarity on the nature of the group, how it will be established and the scope and timing of its work.
2. **Eligibility of proponents.** Parties may wish to consider whether the eligibility of the proponents would need to be defined in the call for proposals, such as the types of organizations that are eligible to host the CTCN. Some parts of the evaluation criteria and information requirements in the current draft text could be interpreted as eligibility requirements which may need further clarification.
3. **Response to inquiries from proponents.** Parties may wish to clarify who could provide advice to the secretariat on how to respond to the inquiries from proponents before the proposals are submitted on issues that are not covered in the expected outcome of Durban.
4. **Initial assessment of proposals.** If Parties decide that an initial assessment should be part of the selection process, they may need to provide further clarity on how this assessment could be conducted, including what criteria would be used to conduct the assessment and what the outcomes would be, such as a shortlist of proponents.
5. **Interaction between Parties and proponents to enable the selection process to be conducted in an open, transparent, fair and neutral manner.** If Parties decide to use the thirty-sixth sessions of the subsidiary bodies (SB 36) as an opportunity to interact with the proponents, they may wish to consider in which format this interaction should be organized (e.g. in-session workshop, a special event) and whether to invite all of the proponents. If Parties wish to interact only with shortlisted organizations, they may need to provide further clarity to ensure that an initial assessment could be conducted prior to finalizing the necessary arrangements for the interaction at SB 36.
6. **Financial arrangements.** Parties may wish to provide clarity on the nature and scale of financial resources to be provided for the host to operate the CTCN.
7. **Post-selection process, including preparation of a host agreement.** Parties may wish to provide further clarity regarding the arrangement for the operationalization of the CTCN after the designated group has provided its recommendation for the possible host of

the CTCN. In this context a draft host agreement may need to be prepared in time for consideration and adoption by the Conference of the Parties at its eighteenth session together with the decision on the host of the CTCN. The form and content of the host agreement is likely to differ according to the organizational nature of the selected host, which may have some technical implications and require additional time to prepare the host agreement.

8. Possible gaps related to the evaluation criteria and information requirements (contained in the annex to the current draft text)

9. Mismatch between the evaluation criteria and the information requirements and consistency with the terms of reference (TOR) for the CTCN. The current draft text specifies information requirements at a very detailed level, while the evaluation criteria are less specific, and in some cases not corresponding to the information requirements within the same evaluation/information category. Having consistency would be important in order to ensure that the proponents understand what the key elements are when preparing their proposals. It would also help to provide a common basis to enable the evaluation process to be more objective. In this regard, the evaluation criteria may need a few additional items and describe in more detail how the information should be evaluated, that is, what is considered to be good and what is not. When elaborating the evaluation criteria and the information requirements Parties may wish to consider the consistency with the TOR for the CTCN.

10. Redundancy of information requirements between different categories. Although not a gap per se, some redundancy in the information requirements has been identified between categories, particularly between “technical approach” and “management plan”. Some technical work to streamline and align these texts could be useful.

11. The table below presents a more detailed analysis on some possible gaps as well as streamlining opportunities within specific evaluation/information categories.

<i>Gaps and streamlining opportunities</i>	<i>Relevant paragraphs of draft text</i>
A. Technical approach	
Additional criteria would need to be added to evaluate the proponents’ general understanding of issues and opportunities, vision and strategy, and plan and schedule for initiating the CTCN.	46.(a), 51
The criteria may need to cover other aspects of efficiency instead of being limited to cost. Elements related to cost could be consolidated under “D. Cost-effectiveness”.	46.(a).(i)
B. Management plan	
Under information requirements, further clarity is needed on the meaning of “risk and scenario planning”.	52.(b)
Elements relating to how the CTCN will maintain relationships with developing countries and interact with development organizations can be consolidated under “A. Technical approach”.	52.(c) and (e)
C. Experiences, expertise, capabilities and record of sound financial management	
The evaluation criteria and information requirements for this category would need to be restructured to align with each other.	46.(c), 53
Clarity might be needed on the criteria with regard to complying	46.(c).(iv) and (v)

with the principles of the United Nations and regional coverage, that is, whether they are considered as eligibility requirements.

D. Cost-effectiveness

Specific criteria would be needed to evaluate the information required to evaluate cost-effectiveness. 46.(d), 54

Further guidance on preparing budget estimates would be needed to make the proposed budgets more comparable. For example, hypothetical total budget scenarios (e.g. low, mid and high cases) could help to this end. 54

E. In-kind resources to be provided

The extent of in-kind resources could enhance the cost-effectiveness. This category could be merged with “D. Cost-effectiveness”. 46.(d) and (e), 54, 55

It would help to clarify if in-kind contribution items could also be converted to and expressed in monetary terms to make proposals comparable. 46.(e), 55

F. Administrative and logistics

This category could be merged with “B. Management plan” 46.(b) and (f), 52, 56

Some specific criteria with regard to legal and logistical aspects might be needed. Some factors that could be considered include provisions on privileges and immunities, tax considerations and logistical attributes to facilitate access. 46.(f), 56

Some additional information may be required, such as the proposed location of the main CTC office and any supporting offices. 56

Other

Parties may wish to consider the applicable weight for administrative and logistical aspects, and/or merge with another category. 47

Appendix II

**Sample documentation for Call for Proposals (CFP) 2012/xxx for
Hosting the Climate Technology Centre and Network (CTCN)**



United Nations
Climate Change Secretariat

Executive Secretary

Nations Unies
Secrétariat de Changements Climatiques

Secrétaire exécutive

Date: XX January 2012
Reference: CFP 2012/XXX
Direct line: +49 228 815 1608

SAMPLE

Call for Proposals (CFP) 2012/xxx for Hosting the Climate Technology Centre and Network (CTCN)

Dear Sir/Madam,

1. On behalf of the Conference of the Parties (COP) the secretariat of the United Nations Framework Convention on Climate Change (UNFCCC) is hereby inviting organizations to submit a proposal for the hosting of the Climate Technology Centre and Network (CTCN). Proposals must be submitted to the secretariat not later than **xxx March 2012 at 11:00** Central European Time (CET).
2. This CFP, consists of this letter of transmittal and the following annexes:

Annex 1	Terms of Reference of the CTCN
Annex 2	Information required to be included in the proposal
Annex 3	Criteria to be used to evaluate and select the host of the CTCN
Annex 4	Terms and Conditions for Submitting a Proposal
Annex 5	Basic Terms and Conditions
Annex 6	Acknowledgement Letter
Annex 7	Profile Form
3. Proposals must be submitted in the English language in **TRIPLICATE** (3 copies). Any attachments to proposals must also be submitted in TRIPLICATE. Proposals must include information in sufficient scope and detail to demonstrate that the proponent has the necessary capability, experience, knowledge, expertise, financial strength and capacity to perform the specified activities in a satisfactory manner. Please mark all pages of proposals with the CFP reference number specified at the top of this letter.
4. The proposal shall contain all relevant information to substantiate the proposal (e.g. brochures, references) and organizational information (e.g. profile form (Annex 7), certificates, annual reports) in order to verify the qualification of the proponent.
5. Any electronic copies of the proposal, must be on separate and clearly-labelled CD-ROMs.

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6. The proposal must be submitted in a further sealed envelope/package, clearly addressed as follows:

**United Nations Framework Convention on Climate Change
Executive Secretary, Christiana Figueres
P.O. Box 260 124
53153 Bonn, Germany**

Street address for courier delivery:

**United Nations Framework Convention on Climate Change
Executive Secretary, Christiana Figueres
Martin-Luther-King Strasse 8
D-53175 Bonn, Germany**

7. The outer envelope/package of the proposal must clearly indicate the information set out below so that the secretariat can identify the proposal at the time of receipt.

CFP number	CFP 2012/XXX
Attention	Executive Secretary, Christiana Figueres
Closing date/time	xx March 2012 at 11:00 (CET)
Proponents name	_____

8. It is the exclusive responsibility of the proponent to ensure that the sealed envelope/package containing the proposal reaches the above address before the closing time and date indicated above, so that it may be time-stamped and accepted for opening. Proposals must be delivered to the designated address during secretariat working hours from 9 a.m. to 5 p.m., Monday through Thursday, until 3.30 p.m. on Friday, except on United Nations holidays. Delivery to any other United Nations office location will be at the risk of the proponent and will not constitute timely delivery. The secretariat will identify and transmit proposals received after the above-mentioned closing time to the selection panel for a decision on acceptability. Written proof of receipt will not be given unless a postal/courier service receipt or other form of receipt is presented to the secretariat for signature. Proposals must not be sent by facsimile.
9. Proposals will be opened by the UNFCCC secretariat on **xx March 2012 at 11:00 CET** and the list of proponents will be made available on the UNFCCC website the next business day. Any proponent claiming to have sent a proposal but not reflected on the list may contact the secretariat within five working days of the above date to seek clarification.
10. All queries relating to this CFP may be submitted in writing and addressed to this office. Such queries may be transmitted to facsimile no.(+49) 228-815-1694 up to **xx February 2012**. All queries received by the secretariat will be compiled and responded to within [X] working days. All responses will be compiled and shared with all proponents.



11. Proponents are reminded that the facsimile number referred to above may be used only to send inquiries and the acknowledgement letter as requested below. Proposals must not be sent by facsimile.
12. The proponent is kindly requested to return the acknowledgement letter (Annex 6) by **xx February 2011**, duly signed by an authorized representative, via facsimile, if it intends to submit a proposal by the designated closing date/time.

Yours faithfully,

Christiana Figueres
Executive Secretary, UNFCCC



Annex 1: Terms of Reference of the Climate Technology Centre and Network

Note: The text to be contained in this annex would be based on the corresponding text agreed to by the Conference of the Parties at its seventeenth session (the corresponding paragraphs in the current draft text for a draft decision (version of 6 October 2011@ 13:00), are paragraphs 13-45).³

³ <http://unfccc.int/files/meetings/ad_hoc_working_groups/lca/application/pdf/20111007_tch_1300.pdf>.



Annex 2: Information required to be included in the proposal

Note: The text to be contained in this annex would be based on the corresponding text agreed to by the Conference of the Parties at its seventeenth session (the corresponding paragraphs in the current draft text for a draft decision (version of 6 October 2011@ 13:00), are paragraphs 49-56).⁴

⁴ <http://unfccc.int/files/meetings/ad_hoc_working_groups/lca/application/pdf/20111007_tch_1300.pdf>.



Annex 3: Criteria to be used to evaluate and select the host of the Climate Technology Centre and Network

Note: The text to be contained in this annex would be based on the corresponding text agreed to by the Conference of the Parties at its seventeenth session (the corresponding paragraphs in the current draft text for a draft decision (version of 6 October 2011@ 13:00), are paragraphs 46-48).⁵

⁵ <http://unfccc.int/files/meetings/ad_hoc_working_groups/lca/application/pdf/20111007_tch_1300.pdf>.



Annex 4: Terms and Conditions for Submitting a Proposal

1. Submission of Proposals

Proposals must be submitted in the English language on the requirement specified in this Call for Proposal (CFP). Proponents must provide all requisite information under this CFP and clearly and concisely respond to all points set out in this CFP. Any proposal which does not fully and comprehensively address this CFP may be rejected. However, unnecessarily elaborated brochures and other presentations beyond those sufficient to present complete and effective proposals, are not encouraged.

The UNFCCC secretariat will have the right to retain unsuccessful proposals. It is the responsibility of the proponent to identify any information of a confidential or proprietary nature contained in its proposal, so that it may be handled accordingly. However, the UNFCCC secretariat cannot guarantee confidentiality.

2. Technical Specifications of Requirement

Proposers must adhere to all requirements of this CFP. No changes, substitutions or other alterations to the requirement stipulated in this CFP document will be accepted.

3. No Commitment

This CFP does not represent a commitment to select the proponent or to pay any costs incurred in the preparation or submission of proposals, or costs incurred in making necessary studies for the preparation thereof, or to procure or contract for services or goods.

[Placeholder to further specify rights of the COP and any other body for evaluation and selection in accordance with the agreed outcome of COP 17]

This CFP contains no proposal or offer of any kind; any proposal submitted will be regarded as an offer by the proponent and not as an acceptance by the proponent of any proposal or offer by any bodies under the Convention nor the UNFCCC secretariat.

4. Criteria for evaluation

All proposals will be evaluated in accordance with the evaluation criteria specified in Annex 3.

5. Selection procedure for the host of the CTCN

[Placeholder to outline overall selection procedure in accordance with the agreed outcome of COP 17]

6. Financial Arrangements

[Placeholder for financial arrangements in accordance with the agreed outcome of COP 17]



7. Validity of Proposals

All proposals shall remain valid and open for acceptance until the selection of the host of the CTCN. Proponents must confirm in their proposal that it will remain valid for this period.

8. Rejection of Proposals

Proposals will be rejected if they, inter alia:

- i. are received after the deadline stipulated in the CFP;
- ii. are not properly marked or addressed as required in the CFP;
- iii. are delivered to another UN office location than the one required in the CFP;
- iv. are transmitted by facsimile unless specifically indicated in the CFP;
- v. contain an alternate proposal; or
- vi. are not otherwise in compliance with the CFP.

9. Withdrawal and Modification of Proposals

Proposals may be modified or withdrawn in writing, prior to the closing time specified in the CFP. Proposals may not be modified after that time.

10. Errors in Proposals

Proponents are expected to examine any information and other instructions pertaining to the work and of the role of the host, made available to them during the selection process. Failure to do so will be at the Proponent's own risk.

11. Opening of the proposals

Proposals will be opened by the UNFCCC secretariat on **xx March 2012 at 11:00 CET** and the list of proponents will be made available on the UNFCCC website the next business day. Any proponent claiming to have sent a proposal but not reflected on the list may contact the secretariat within five working days of the above date to seek clarification.

12. Ethical standards

All proponents shall adhere to the highest ethical standards, both during the selection process and throughout the performance of related activities.

13. Conflict of Interest

A Proposer must not, and must ensure that its employees, officers, advisers, agents do not, place themselves in a position that may, or does, give rise to an actual, potential or perceived conflict of interest between the interests of the Conference of the Parties and the proponent's interests during the selection process.



If during any stage of the selection process a conflict of interest arises, or appears likely to arise, the proponent must notify the UNFCCC secretariat immediately in writing, setting out all relevant details of the situation. The proponent must take such steps to resolve or otherwise deal with the conflict.

14. Rights of the COP

If it is determined that a Proposer has engaged in corrupt practices in relation to ethical standards or conflict of interest situations, then the COP reserves the right, at its sole option, to reject any proposal or recommendation to select the proponent.

15. Terms and Conditions

All proponents responding to this CFP shall acknowledge in their proposal that the Basic Terms and Conditions (Annex 5) are acceptable. However, if any of the Basic Terms and Conditions or any of the above terms and conditions is not acceptable, the proponent is required to indicate in the proposal with specificity any reservation(s) it has in respect of any of them and must provide alternative language to the particular clause. Please note, however, that such reservation(s) or deviation(s) will be taken into account in the evaluation of the proposals, including the comparative evaluation with other proposals.

16. Zero Tolerance for Gifts/Hospitality

The UNFCCC secretariat has a "zero tolerance" policy and does not accept any type of gift or any offer of hospitality. The UNFCCC secretariat will not accept any gift or invitations to sporting or cultural events, offers of holidays or other recreational trips, transportation, or invitations to lunches or dinners. The UNFCCC secretariat expects the proponents not to offer any benefit such as free goods or services or a work position or sales opportunity to a UNFCCC secretariat staff member in order to facilitate the business of the proponent with the UNFCCC secretariat. All items received from the proponents, even of nominal value, will be returned to the proponents or donated to charity.



Annex 5

Basic Terms and Conditions

[This annex will be developed following the COP decision in Durban, to reflect United Nations standard legal requirements relevant to the type of agreement to be concluded with the Host]



Annex 6: Acknowledgement Letter

We, the undersigned, acknowledge your Call for Proposal (CFP) No. 2012/xxx, and hereby confirm that we:

[] INTEND

to submit a proposal to the secretariat of the United Nations Framework Convention on Climate Change (UNFCCC) by the deadline date of [date], 11:00 (CET).

Note: Your intent to participate should be faxed to +49 228 815 1694 or emailed to:

Name and Address of Organization:

Contact Person:

Email Address:

Telephone:

Facsimile:



Annex 7: Profile Form

All of the questions below should be answered in full. The information provided in response to the questions below will be used as part of the evaluation of the proposal;

1. General Information

Organization Name			
Address			
Post Code:			
Country			
Telephone:			Fax:
E-mail Contact Person:			Web site:
Contact Name:			
Type of organization	Public enterprise	()	
	Private company	()	
	Organization sponsored (assisted by Government)	()	
	Other (please specify):	()	
Type of business / services	Retailer	()	
	Authorized Agent	()	
	Consulting Company	()	
	Other (please specify):	()	
Summary of main activities			
No. of employees			
Geographical Presence			

2. Experience with the United Nations / international organizations

<i>list contracts/agreements with UN or other international organizations (and their values, if applicable) in the last three years, include additional sheets if necessary</i>	
1	
2	
3	
4	



3. Environmental Policy

Does your organization have a written statement of its environmental policy ?

YES () Please attach copy

NO ()

4. Contract disputes

List any disputes your organization has been involved in over the last three years