



Technology Executive Committee



# Enhancing Implementation of Technology Needs Assessments

Guidance for Preparing a Technology Action Plan





# Enhancing Implementation of Technology Needs

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Asian fishermen throw netting to catch fish. Photo credit: Pentium5/Shutterstock.com

# Preface

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Enhancing technology development, transfer, deployment and dissemination is a key pillar of the international response to climate change. As a result, and to support the implementation of the UNFCCC Paris Agreement, Parties to the UNFCCC initiated the elaboration of the technology framework to further promote and facilitate enhanced action on technology development and transfer. The work on technology needs assessment (TNA) will play a key role in the implementation of climate technologies.

With the Global GEF UNEP TNA project, the TNA process went into a new stage, applying an enhanced methodology for sectors and technologies prioritisation, and barriers and enablers identification. This comprehensive work was reflected in the high quality of TNA reports delivered by countries aimed more towards the implementation of prioritised technologies. More than 50 new TNA reports will be available by the end of 2017 which are expected to deliver more than 500 mitigation and adaptation technology action plans (TAPs). The TAPs of the TNA process are solid foundations towards their further development and implementation, and are helpful in closing the gap between needs of developing countries and global support options.

The work on enhanced guidance for preparing TAPs was mandated to the Technology Executive Committee (TEC) by the COP-20. It recognised the need for the TNA process to be improved in order to facilitate the implementation of the project ideas emanating from it, and asked to provide guidance on how the results of the TNAs, in particular the TAPs, can be developed into projects that can be ultimately implemented. As a result of this work of the TEC, COP-21 welcomed the work on the TAP guidance, and noted that the guidance was available by early 2016 to developing countries and TNA stakeholders for their use.

The enhanced guidance for preparing TAPs is an opportunity to support the new technology framework and the long term vision, shared by Parties to the UNFCCC on the importance of fully realising technology development and transfer in order to improve resilience to climate change and to reduce greenhouse gas emissions. The enhanced guidance for preparing TAPs is designed to assist countries in making informed decisions in their technology choices, and to articulate their own technology actions and formulate appropriate activities. Building on lessons from earlier TNA efforts, it offers a systematic approach for conducting TAPs in order to address barriers and accelerate development, transfer, deployment and dissemination of priority technologies. It also provides processes for addressing and overcoming gaps in enabling frameworks and capacities, being a technology responsive element of overall climate change strategies and plans, such as NDCs, and NAPs. It further identifies concrete actions needed for successful technology implementation and develops an indicative investment technology inclusive proposals, which can be considered for funding by private and public funders.

To increase the exchange of knowledge and experience sharing between countries, improved tracking of implementation status of the TAPs and their actions was considered instrumental by many countries. Therefore, the TEC included in its work plan an activity to prepare a methodology on how to monitor the TNA results, including the elements of such methodology, with a view to showcasing success stories. The results of the TEC work is the Step 7 of this guidance: “Tracking the implementation status of TAPs” developed to assist countries to enhance their efforts in upscaling technology transfer by allowing better visibility and recognition for their technology inclusive action plans. We would like to highlight that tracking of the TAPs is not only a tracking of the successful implementations, but also of TAPs which are in the process of reaching implementation, to offer both success stories and challenges. Finally, we believe that the information generated through the TAP tracking system will be used by countries to gradually share their valuable experiences on how and to which extent they have been able to attract financial and technical support for implementation of their TAPs.

The publication of this Guidance for preparing TAPs is the result of the dedicated efforts of all those involved in its production, in particular its principal consultants, staff of the UNFCCC secretariat, staff of the UNEP DTU Partnership, members of the TEC and numerous practitioners engaged in project development and financing.

The UNFCCC and the TEC will continue to provide an effective means for the international community to agree upon how climate-friendly technologies can be developed, transferred, deployed and disseminated globally, in an equitable and business-friendly manner.



**Michael Rantil**  
Chair of the  
Technology Executive Committee



**Duduzile Nhlengetwha-Masian**  
Vice-Chair of the  
Technology Executive Committee



# Glossary of Terms

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<b>Action</b>	Actions are at the centre of a TAP and should aim to implement the measures identified in the analysis of barriers and enabling frameworks
<b>Activity</b>	An Action is usually composed of several Activities, which are the specific tasks or ‘sub-actions’ needed to realise an Action. Each Activity requires detail on Timeframes for implementation, Resources, Responsible Parties, Stakeholders, Reporting Plans, etc.
<b>Ambition</b>	The ambition sets the scale and context for the envisaged technology uptake and/or diffusion in the country/target area for the TAP.
<b>Barrier</b>	A barrier can be any identifiable reason why a specific technology struggles or fails to enter or diffuse in a given economy.
<b>Contingency planning</b>	A contingency plan is a plan formulated for each activity specified in the TAP, enacted if and when the outcome of the activity differs from the intended outcome
<b>Enabling environment</b>	An enabling environment includes the local context-specific circumstances that encompass existing market and technological conditions, institutions and practices. This includes the resources and conditions within which the technology and the target beneficiaries operate.
<b>Measure</b>	Any factor (financial or non-financial) that enables or motivates a particular course of action or behavioural change, or is a reason for preferring one choice over the alternatives. Often the word ‘incentive’ is used synonymously, sometimes with a slightly different interpretation. This guidebook does not distinguish between ‘measure’ and ‘incentive’.
<b>Programme</b>	A programme includes a series of projects with an overarching set of objectives to reach the identified overall ambition for the programme.
<b>Project idea</b>	A project idea presents concrete Actions, as a project concept note, as a means to deliver the overall ambition indicated in the TAP. A project idea should be formulated so that it can be read and understood as a stand-alone document.
<b>Stakeholder</b>	Any identifiable individual or group with a direct or indirect interest (stake) in the success of an institution in delivering intended results. A relevant formal definition of stakeholders could be ‘...those who have an interest in a particular decision, either as individuals or representatives of a group. This includes people who influence a decision, or can influence it, as well as those affected by it’ (Earth Summit 2002)

**Technology**

Technology is a piece of equipment, technique, practical knowledge or skills for performing a particular activity. It is common to distinguish between three different elements of technology: the tangible aspects, such as equipment and products (hardware); the know-how, experience and practices (software) associated with the production and use of the hardware; and the institutional framework, or organisation, involved in the transfer and diffusion of a new piece of equipment or product (orgware).

**Technology action plan (TAP)**

A TAP is a concise plan for the uptake and diffusion (transfer) of prioritised technologies that will contribute to the country's social, environmental and economic development and to climate change mitigation and adaptation. A TAP is usually made up of numerous specific Actions. Often, the TAP is technology-specific, but it can also cover a portfolio of technologies where the same set of Actions benefits all technologies.



Industry boiler gas burner. Photo credit: Vladeep7/Shutterstock.com





Farmers practice drip irrigation in the Tana River Basin, Kenya. Photo credit: Georgina Smith/CIAT

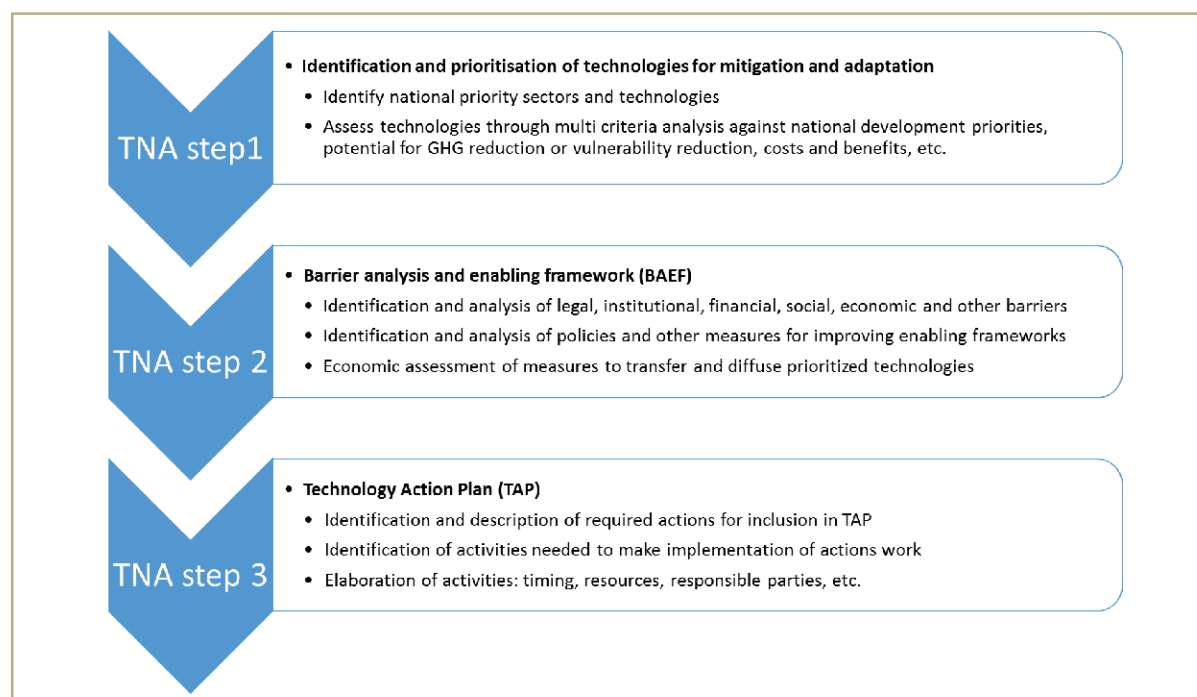


# Introduction

The Technology Needs Assessment (TNA) process identifies a country's development priorities. These are derived from ongoing policies, programmes and projects, long-term vision documents as well as strategies for climate change mitigation and adaptation already in place. These development priorities are used along with climate mitigation and adaptation criteria for identifying highest priority (sub) sectors, and for prioritising technologies for mitigation and adaptation within these (sub) sectors (see Figure 1). The TNA process, therefore, maps out a country's long-term development priorities and also identifies technologies to realise these with lower emissions and stronger climate resilience.

As a next step, the TNA identifies and analyses barriers hindering deployment and diffusion<sup>1</sup> of the prioritised technologies, as well as measures to overcome these barriers, including enabling frameworks for the technologies.

**Figure 1. Overview of TNA Steps<sup>2,3</sup>**



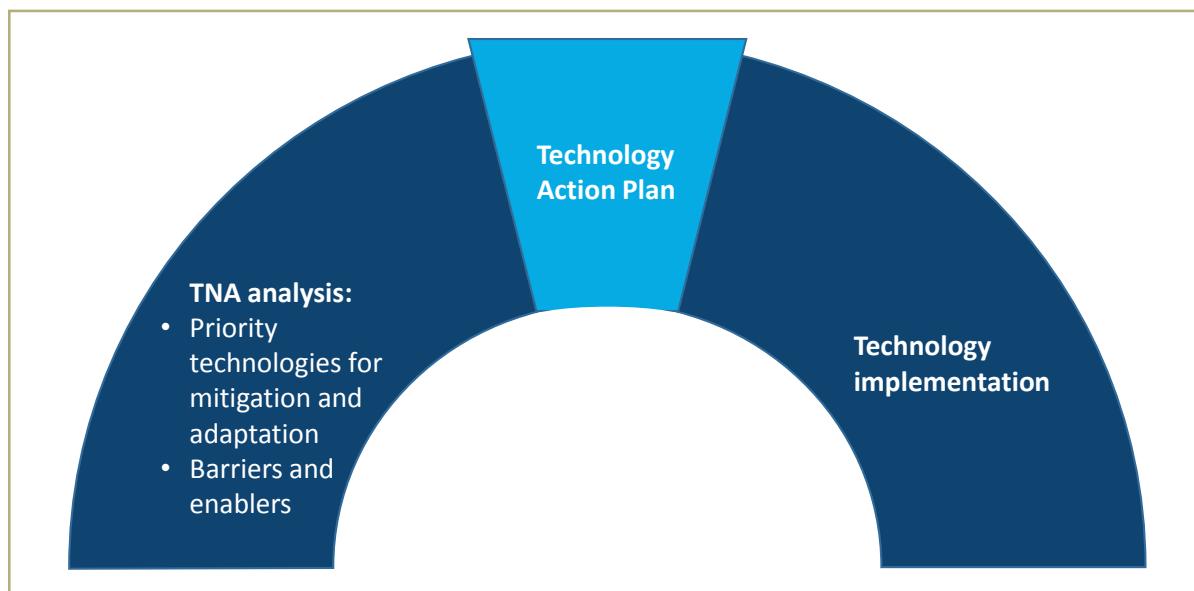
1 In this guidance document, technology *deployment* refers to introducing the technology in the market or system through, for example, awareness building and development of back-up services for maintenance and support; technology *diffusion* refers to the widespread adoption of the technology in the market or system to the point where sufficient numbers are deployed to make the manufacture and sale of a technology commercially competitive or the use of a technology widespread

2 For detailed guidance on **prioritisation of technologies for mitigation and adaptation** see Traerup, S. and R.K. Bakkegaard, 2015. *Evaluating and prioritizing technologies for adaptation to climate change - A hands on guidance to multi criteria analysis (MCA) and the identification and assessment of related criteria*, UNEP DTU Partnership, May 2015 and Dhar, S., D. Desgain and R. Narkeviciute, 2015. *Identifying and prioritising technologies for mitigation - A hands on guidance to multi-criteria analysis (MCA)*, UNEP DTU Partnership, September 2015. Both guidebooks can be downloaded from: <http://www.tech-action.org/Publications/TNA-Guidebooks>

3 For detailed guidance on **barriers and measures** see: Nygaard, I. and U.E. Hansen (2015). *Overcoming Barriers to the Transfer and Diffusion of Climate Technologies: second edition*, UNEP DTU Partnership

The final step in the TNA process is the preparation of Technology Action Plans (TAPs), which support the implementation of the prioritised technologies, at the desired scale, within the country to achieve the climate and development benefits as identified earlier in the TNA. A TAP is built upon the measures identified in a TNA for overcoming barriers to technology implementation and specifies how to implement these measures, including who is responsible, when, and from where to secure funding. As such, a TAP serves as a bridge ('keystone', see Figure 2) between the analysis of prioritised technologies and their implementation.

**Figure 2. TAPs as 'keystone' between TNA analysis and technology implementation**



The actions in a TAP can take different forms. For example, an action can be a technology demonstration project, with the aim of overcoming public opposition to that technology. Another example of an action could be a programme to train local engineers, in order to address the barrier of a lack of skills to operate a specific technology. An action could also aim to overcome indirect barriers to technology uptake or diffusion, with associated co-benefits, such as the provision or upgrading of infrastructure.

The goal of this guidance is to help ensure that each completed TAP contains:

- A set of concrete actions needed for successful technology implementation in the country
- An indicative investment proposal for each technology, which can be considered for funding by potential public and/or private funders

It is important to bear in mind that the funding requests prepared as part of a TAP are unlikely to be fully in line with the information needs of potential funders. This is because different funders have different proposal requirements, which a TAP, given the limited resources available, cannot meet. Therefore, the TAPs should include proposals that are sufficiently detailed and informative for a 'pre-assessment' or 'first screening' (i.e. suitability with the funders' own criteria). However it will be necessary to further refine the funding proposal, tailored to the formats and expectations of specific sources.

To help potential funders assess or screen the investment proposals, this guidance details how to identify both the costs and benefits of the proposed actions, as well as the in-country capacity needs. This helps potential funders not only to assess whether funding of an action fits in their programme, but also how the costs relate to the benefits of an action towards achieving climate and development benefits in the country.

A TAP can focus on a *single technology* with larger-scale potential within a country or sector, or on a portfolio of *technologies* for which common actions apply (*e.g.* a bus-rapid-transit system together with cycling lanes and pedestrian footpaths). Based on the portfolio of priority technologies within sectors and/or the identified barriers, the TNA team may conclude whether or not commonalities exist across multiple prioritised technologies, and whether these justify a TAP that covers a portfolio of technologies.

The target audience for a TAP are in-country public and private sector stakeholders that are likely to be involved in the implementation of the proposed actions detailed in the TAP. These stakeholders can be decision makers from governments, where actions involve, for instance, regulatory measures or incentives or infrastructural improvements, and private investors when actions concern concrete business proposals and/or investment opportunities. This guidance emphasises the need to clarify the responsibilities of the organisations and individuals involved in the implementing the TAPs. Part of this will be the identification, as early as possible, of potential sources of funding, whether national and/or international. When identifying the involvement and responsibilities of stakeholders in a TAP, this guidance recognises the contexts, necessities and interests of men, women, and youth and ethnic groups. For more information, please see TNA guidebook on Stakeholder identification on [www.tech-action.org/Publications/TNA-Guidebooks](http://www.tech-action.org/Publications/TNA-Guidebooks).

A TAP should build upon already completed or ongoing relevant processes within the country, such as nationally appropriate mitigation actions (NAMAs) and/or national adaptation plans (NAPs),<sup>4</sup> to use already existing insights and data and enhance consistency of different processes. In addition, TAPs can be important sources of information for countries when preparing Nationally Determined Contributions (NDCs). After all, a TAP supports implementation of low emission or climate resilient technologies, which, under normal, business-as-usual circumstances would not have been implemented, due to existing barriers<sup>5</sup>. Finally, TAPs can be a source of information for countries' National Communications and Biennial Reports as they contain specific actions identified for improving countries' enabling environment, for the large-scale adoption of low emission and climate resilient technologies and measures.

Finally, there is a role for the Nationally Designated Entity (NDE) in the process of preparing and implementing TAPs as they facilitate any support to their country from the Climate Technology Centre and Network (CTCN). Specifically, for each Step in this guidance, countries can request technical assistance from the CTCN. The CTCN can also support the application of this guidance for developing or updating action plans for technologies prioritised through other national processes, including in Phase I of the global TNA project.

## Structure of this Guidance

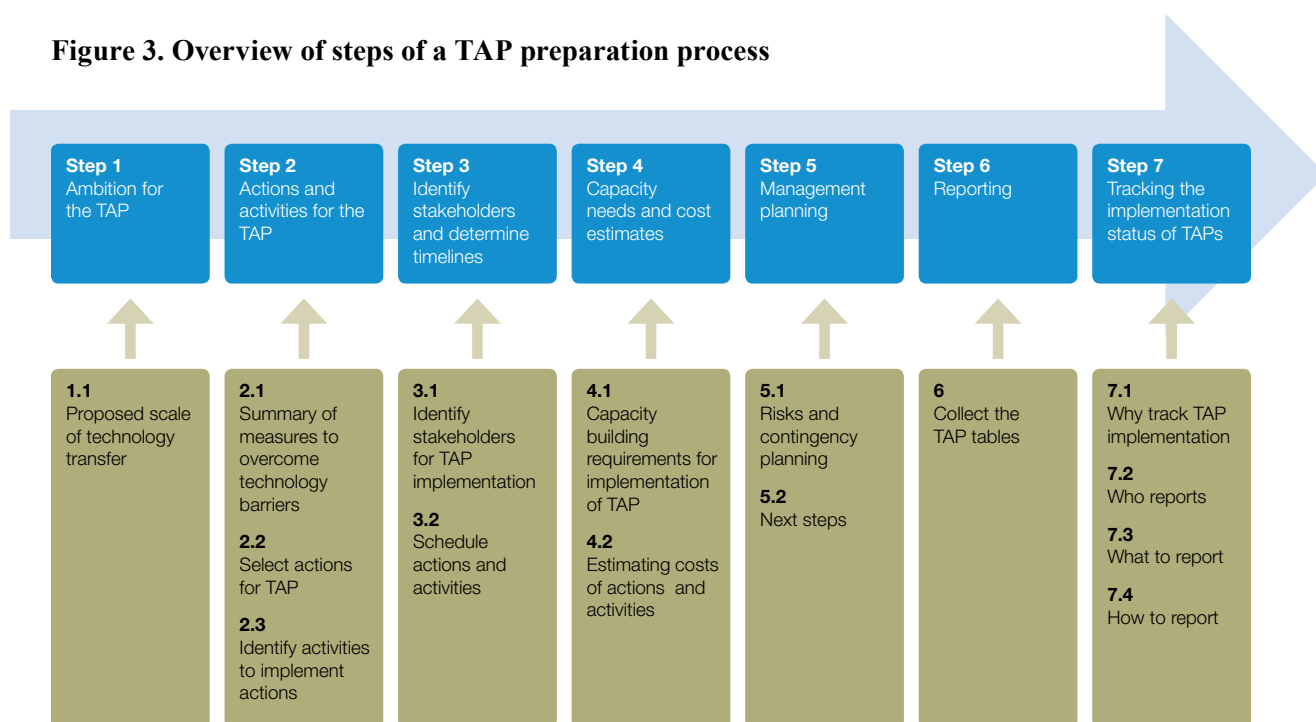
This Guidance documents walks through the process of preparing a TAP ("TNA Step 3" in Figure 1). The first task is to describe the **scale** and context for technology deployment and diffusion, referred to as the 'ambition'. Secondly, it is necessary to summarise the **barriers** to deployment and diffusion for

4 Further guidance can be obtained from: TEC Brief – Possible integration of the TNA process with NAMA and NAP processes (October 2013)

5 Further background on how different planning processes for low emission and climate resilient futures could be harmonised can be found in the paper: TEC/2014/9/6 Draft paper on linkages with TNAs and other planning processes

each technology, as well as possible **measures** for addressing these. These first two aspects of a TAP should draw on the work completed in the previous steps of the TNA process (see Figure 1). For a TAP, the previously identified measures are turned into a list of *Actions*, which are then expanded into a set of specific **activities**, i.e. the specific things to be done to realise an Action. Once the activities are defined, the relevant stakeholders, i.e. those who will be directly involved in the implementation of the TAP, should be identified. Here, it is also important to estimate a **timeframe** for each activity. Following the identification of stakeholders, the TAP should estimate the human and financial **resources** needed for each activity, including the type of financing required and potential sources of funding. The TAP should include a **management plan** for reporting, risk management, corrective measures, and contingency plans. The figure also includes a Step 6 on reporting and a final Step 7 on how to track the future implementation of TAPs. Figure 2 presents an overview of the content of a TAP, broken down into 7 steps (not to be confused with the three overall steps in the TNA project summarised in Figure 1).

**Figure 3. Overview of steps of a TAP preparation process**



The information generated in these steps can be documented in a simple spreadsheet (see ‘Reporting’, elsewhere in this guidance). All the tables in this guidance document serve as illustrations and correspond with the tables in the spreadsheet. Table 1 presents an example of the information collected for the first part of the TAP, including key information about the priority technology, the institutional and individual stakeholders identified for preparation of the TAP, how the technology contributes to the country’s development benefits, climate change mitigation or adaptation, and status of the technology in the country etc.

The preparation of a TAP is the responsibility of the TNA coordinator in collaboration with national consultants and the sectoral or technology working groups within the TNA team, in collaboration with a group of relevant stakeholders.<sup>6</sup> The responsible team may decide to involve the NDE in the process of developing a TAP, as a means to enhance awareness of the main activities and project ideas, contribute to the ideas, and provide a link to possible CTCN support to help implement a given TAP. For countries

6 For identification and engagement of stakeholders in the TNA and TAP process, guidance is available at <http://tech-action.org>



involved in the CTCN Technical Assistance Request Incubator Programme<sup>7</sup>, the NDE would be able to facilitate links between the national incubator consultations and the TAP formulation process.

There may be a mismatch between the ideal desired level of detail of a TAP and what can realistically be achieved, given the limited resources available. For this reason, this guidance document is structured in a flexible way, to allow for the development of TAPs that are sufficiently informative, within the scope of the resources. For example, at a minimum, a TAP could list actions required for developing a prioritised technology project or programme and include rough estimates of cost items for these actions. This could form the basis of a more detailed in-depth feasibility study, beyond the TAP, which may be requested by potential funders. The TAPs should also utilise as far as possible outputs from earlier TNA steps, such as decisions on technology implementation scale, measures identified to overcome barriers, and cost estimates for these measures. Where relevant, this guidance makes specific references to these ‘earlier’ TNA outputs.

**Table 1. Starting Point Information for a TAP**

*(corresponds to Table 1 in spreadsheet tab ‘Preparation (Steps 1-2)’)*

<i>Insert information from earlier TNA stages</i>		
	Identification of Priority Technology (Sector):	Priority Technology: e.g. multi-project programme of small hydro development (Energy – electricity production)
<b>TAP Preparation Organisation Matrix:</b>		
<b>Institution and Responsibilities</b>	Primary and Back-up Individuals	Contact Information (email, phone)
✓		
✓		
<b><i>Climate change mitigation or adaptation and sustainable development impacts and importance (from TNA stage 1)</i></b>	Insert explanation from TNA technology prioritisation stage regarding the potential sustainable development benefits of the technology: Social: Economic: Environment:	
	Insert explanation from TNA technology prioritisation how the technology is expected to reduce GHG emissions or increase resilience against a changing climate	
<b><i>Current status of technology at the country level</i></b>	Insert explanation from TNA technology prioritisation (e.g. availability, the market, the local production, awareness, policies, regulations, cost)	
<b><i>Other explanations in support of prioritisation of this technology:</i></b>	Insert explanation from TNA technology prioritisation	

<sup>7</sup> Through the “Request Incubator Programme” the CTCN offers support for Least Developed Countries to access CTCN technical assistance, strengthen institutional capacities related to climate technologies, and reinforce efforts on technology transfer: <https://www.ctc-n.org/capacity-building/request-incubator>



Vietnam's Plant Resources Center Genebank. Photo credit: Georgina Smith/CIAT

# Step 1 – Ambition

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The ambitions can be separated between the long-term vision for the technology, e.g., a vision of zero carbon electricity by 2050, and the need to differentiate between short and medium term ambitions. In either case, and wherever possible and appropriate, TAPs should aim to establish or support efforts to rollout a given technology in a self-sustaining manner, e.g. by creating markets, ensuring replicability, securing a reliable funding source for operation and maintenance, etc. As a first step in this process, the scale of envisaged technology transfer or uptake in the country is discussed/revisited. Earlier in the TNA process, when the technology was prioritised, scale aspects would have been considered by stakeholders and, in this step, these considerations can either be revisited or simply copied and included in the TAP report (see Table 2).

**Table 2. Ambition – The envisaged scale of implementation of the prioritised technology**  
(corresponds to Table 2 in spreadsheet worksheet ‘Preparation (Steps 1-2)’)

Step 1	<p><i>Proposed scale of technology implementation in country to deliver the socio-economic and environmental benefits in the target sector or area (as identified during technology prioritisation stage of the TNA)</i></p>	<p><b>INSERT from Ambition discussion:</b></p> <p><b>For example,</b> “Priority technology involving small-scale hydroelectricity will be implemented on a scale of up to 20 projects of various sizes totalling 120 MW and producing XX GWh of renewable energy yearly.”</p> <p><b>Specify sector or area:</b></p>
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The ambition of the TAP could also be to contribute to the formulation of NDCs, especially with a view to what measures can be taken in the country to foster technology development and transfer, beyond business-as-usual circumstances.

The next step in the TAP is to identify and characterise the actions to realise this ambition, including a timeframe, required resources and an inclusive, multi-stakeholder process.





Bus Rapid Transit TransMilenio, Bogota, Colombia. Photo credit: adrimcm



# Step 2 – Identify Actions and Activities to include in the TAP

## 2.1 Summarising barriers and measures to overcome barriers

In the TNA Deliverable ‘*Barrier Analysis and Enabling Framework*’ (prepared in the second step of the TNA process, see Figure 1), barriers to the introduction and/or wide scale use of the prioritised technologies were identified, as well as relevant and viable measures to overcome these barriers. These measures can include the general ease of “doing business”, e.g. the enforcement of contracts, as well as, for example, the wider policy and regulatory framework to incentivise investment in a given technology. These barriers and measures should be listed and described in section 1.2 of the TAP report, in line with the table format of presented below in Table 3<sup>8)</sup>

**Table 3. Overview of Barriers and Measures to overcome these**  
*(Categories taken from the barrier analysis guidebook<sup>9</sup> – Barriers and measures shown only serve as illustrative examples; Table corresponds to Table 3 in the spreadsheet tab ‘Preparation (Steps 1-2)’)*

	<b>Solar home systems (SHS)</b>	
<b>Categories</b>	<b>Identified Barriers</b>	<b>Measures to overcome barriers</b>
<b>Economic and financial</b>	<ul style="list-style-type: none"> <li>• High initial investment</li> <li>• Lack of subsidies for technology components</li> <li>• High cost of installation</li> </ul>	<ul style="list-style-type: none"> <li>• Expand access to finance</li> <li>• Remove Value Added Tax on SHS components</li> <li>• Standard power purchase agreement</li> </ul>
<b>Market conditions</b>	<ul style="list-style-type: none"> <li>• Technology value chain is inefficient</li> <li>• Spare parts difficult to obtain in local hardware stores</li> </ul>	<ul style="list-style-type: none"> <li>• Set up local assembling industries</li> <li>• Improve access to products and services</li> </ul>
<b>Legal and regulatory</b>	<ul style="list-style-type: none"> <li>• Inadequate policy, legal and regulatory framework</li> </ul>	<ul style="list-style-type: none"> <li>• Improve policy and enabling environment</li> <li>• Strengthen regulatory framework</li> </ul>
<b>Network structures</b>	<ul style="list-style-type: none"> <li>• Professional networks for technology exist but are insufficiently active</li> </ul>	<ul style="list-style-type: none"> <li>• Enhance networking of SHS value chain actors</li> </ul>

8 The table uses the same categories as suggested in: Nygaard and Hansen (2015), see Footnote 4

9 See Footnote 4

<b>Institutional and organisational capacity</b>	<ul style="list-style-type: none"> <li>• Facilitating services for technical maintenance and financial support are insufficient</li> <li>• Infrastructure for supporting technology value chain is lacking</li> </ul>	<ul style="list-style-type: none"> <li>• Involve local communities and civil society</li> <li>• Infrastructure improvement</li> <li>• Invest in facilitating services</li> </ul>
<b>Human skills</b>	<ul style="list-style-type: none"> <li>• In general, university and other higher education institutes pay insufficient attention to training a future generation of engineers in renewable energy technologies</li> <li>• Insufficient specific skills for installing and maintaining technology in the country</li> </ul>	<ul style="list-style-type: none"> <li>• Expand capacity building initiatives and collaboration (focused on technology)</li> <li>• Establish a national education programme with universities focused on renewable energy operation and maintenance</li> </ul>
<b>Social, cultural and behavioural</b>	<ul style="list-style-type: none"> <li>• Many households resist a new way of generating energy</li> </ul>	<ul style="list-style-type: none"> <li>• Enhance public acceptance of different ways of heating and cooling</li> </ul>
<b>Information and awareness</b>	<ul style="list-style-type: none"> <li>• Technology information is not widespread</li> <li>• Limited information about costs and benefits at specific technology sites</li> <li>• No one-stop shop exists</li> </ul>	<ul style="list-style-type: none"> <li>• Conduct adequate information and awareness campaigns through print and electronic media</li> <li>• Implement information gathering and sharing (specific for the site)</li> </ul>
<b>Technical</b>	<ul style="list-style-type: none"> <li>• Technology may require modification to fit with local household conditions</li> </ul>	<ul style="list-style-type: none"> <li>• Modification of technology to meet local needs</li> </ul>
<b>Other</b>		

## 2.2 Selection of Actions

In the previous step related to the Barriers Analysis and Enabling Framework (BAEF) report, various measures for overcoming barriers were identified. For the sake of the TAP, these measures are converted into ‘Actions’. Although all the identified measures can be considered important, it is recommended to prioritise them and select only the most important ones for the TAP. Simply put, handling too many measures could complicate the implementation of the TAP, since each measure has a cost and countries have budget constraints, and a given measure may contradict or undermine another.

The final choice of one set of measures (to overcome barriers for transfer and diffusion of a technology) over another is a political decision. The proposed sets of measures will therefore have to be discussed, negotiated and agreed upon by relevant stakeholders at the country level so as to be consistent with domestic objectives, recognising the distinct roles, experience and contributions to technology use and adoption of men and women, and finally to be discussed at the highest level in the ministries involved before

selecting the final set of measures to be presented in the Technology Action Plan (TAP).<sup>10</sup> In consultation with stakeholders<sup>11</sup>, the TNA team could consider the following criteria when selecting measures:

- The **effectiveness** of the measures toward technology implementation, i.e. how strongly is a measure expected to lead to the goal of technology implementation?
- The **efficiency** of the action to achieve this effectiveness, i.e. does the action enable implementation at the lowest cost in terms of human and financial resources?
- Possible positive or negative **interactions** or conflicts with other measures, in particular policies, in the sector or county, which could affect the measure's effectiveness and efficiency.
- **Suitability** of the action within the country or sector context; for instance, based on good practice examples the action can be effective, but local acceptance of the action in the country may be lower than observed elsewhere.
- The **costs and benefits** of the measures, as previously identified in the TNA report on barrier analysis and enabling framework (see section 6.3 of BAEF guidebook)

It should be noted that the above-listed criteria are only broad examples, and that TNA country stakeholders are encouraged to identify their own selection criteria.

The measures related to economic and financial barriers can also be evaluated using models that analyse alternative financial proposals (see Box 1). The short listing of measures against some basic criteria is also a means of achieving buy-in from the stakeholders, and therefore a good consultation at this stage can help in successful implementation of actions. In order to organise the discussion, stakeholders can use a simple ranking of measures, as shown in Table 4.

### **Box 1. Financial Modelling for Analysing Measures**

Where a technology faces financial barriers (e.g., the internal rate return is less than discount rate, the payback period is very high or the net present value is negative) it is useful to analyse the economic incentives, using a simple financial model. There are various models that are available for such analysis of mitigation technologies e.g., HOMER, RETSCREEN etc. The TNA project has developed the FICAM model for such analysis.

FICAM can analyse different measures aimed at overcoming the financial barriers for investors e.g., a farmer investing in drip irrigation or a homeowner investing in roof top solar PV. The measures that can be analysed include interest subsidies, capital subsidies, operational subsidies, carbon prices, retrofitting and technology upgradation to extend life, etc. The different measures can be analysed individually or in a combination and the model also has a scenario generator that can do a quick analysis using different combination of measures.

Besides looking at measures that make a technology attractive for investors, FICAM can also provide a summary of grants and subsidies that would be required on an annual basis. This information is useful for policy makers as it allows them to choose the measures that have the lowest costs. It is also useful for preparing a TAP, since the cost of Actions is a fundamental consideration.

<sup>10</sup> See Nygaard and Hansen (2015), Footnote 4

<sup>11</sup> For further guidance, see Rogat, J. (ed.), 2015. Identification and Engagement of Stakeholders in the TNA Process – a Guide for National TNA Teams (in English and Spanish), <http://www.tech-action.org/Publications/TNA-Guidebooks>

**Table 4. Framework for ranking measures for inclusion as Actions in TAP**  
*(measures shown only serve as illustrative examples; corresponds to Table 4 in spreadsheet tab ‘Preparation (Steps 1-2)’)*

Measures (examples from Table 3)	Considerations	Assessment	(Initial) ranking (with rationale)
<b>Expand access to finance</b>	<ul style="list-style-type: none"> <li>• Effectiveness</li> <li>• Efficiency</li> <li>• Interactions with other measures</li> <li>• Suitability within country/ sector</li> <li>• Benefits and costs</li> </ul>	<ul style="list-style-type: none"> <li>• Better access to finance for solar home systems is particularly helpful for a wider scale implementation of the technology, esp. for making the technology more affordable for a larger group of households. Effectiveness of this measure is particularly enhanced when potential developers are informed and trained about assessing finance risks in relation to households’ ability to pay.</li> <li>• the measure is relatively cheap as it mainly requires a work and/or a few consultations with developers about finance risk assessments.</li> <li>• there are no real interactions with other measures, at least not negative, and there are no suitability issues with country or sector.</li> <li>• Benefits to technology implementation are mainly indirect: we support financiers to make better informed risk assessments, but we have no guarantee that they will immediately make more funding available.</li> </ul>	<p>3</p> <p>Expanding access to finance is a relatively cost-effective measure and contributes to a better mutual understanding between finance providers and technology programme developers, as well as improved risk assessments within the country context. In comparison with the other actions we do not rank this action as the highest, because, while of crucial importance, its impact on actual implementation at the household level is largely indirect, depending on how much money financiers are willing to make available and how much money households are willing to invest.</p>
<b>Remove Value Added Tax on SHS components</b>	<i>etc.</i>		2

Examples of the final selected measures are listed in Table 5 as Actions to be included in the TAP. This table will be included in the TAP template<sup>12</sup>.

<sup>12</sup> Please find the template at <http://www.tech-action.org/Publications/TNA-Guidebooks>

**Table 5. Final selection of measures to be included as Actions in the TAP**  
*(Categories taken from Guidebook on Barriers<sup>3</sup> – Measures shown only serve as illustrative examples; corresponds to Table 5 in spreadsheet tab ‘Preparation (Steps 1-2)’)*

Categories	Identified measures to overcome barriers	Measures selected as Actions for inclusion in TAP
Economic and financial	<ul style="list-style-type: none"> <li>Expand access to finance</li> <li>Remove Value Added Tax on SHS components</li> <li>Standard power purchase agreement</li> </ul>	Expand Access to Finance
Market conditions	<ul style="list-style-type: none"> <li>Setting up local assembling industries</li> <li>Improve access to products and services</li> </ul>	Improve Access to Products and Services
Legal and regulatory	<ul style="list-style-type: none"> <li>Improve policy and enabling environment</li> <li>Strengthen regulatory framework</li> </ul>	Improve Policy and Enabling Environment
Network structures	<ul style="list-style-type: none"> <li>Enhance networking of SHS value chain actors</li> </ul>	
Institutional and organisational capacity	<ul style="list-style-type: none"> <li>Involve local communities and civil society</li> <li>Infrastructure improvement</li> <li>Invest in facilitating services</li> </ul>	
Human skills	<ul style="list-style-type: none"> <li>Expand capacity building initiatives and collaboration (focused on technology)</li> <li>Establish national education programme with universities focused on renewable energy operation and maintenance</li> </ul>	Expand Capacity Building Initiatives and Collaboration
Social, cultural and behavioural	<ul style="list-style-type: none"> <li>Enhance public acceptance of different ways of heating</li> </ul>	
Information and awareness	<ul style="list-style-type: none"> <li>Conduct adequate information and awareness campaigns through print and electronic media</li> <li>Implement information gathering and sharing (specific for the site)</li> </ul>	Implement Information Gathering and Sharing
Technical	<ul style="list-style-type: none"> <li>Modification of technology to meet local needs</li> </ul>	
Other		



## 2.3 Identifying Activities for the Selected Actions

Since these Action categories are still relatively broad, it is important to proceed immediately with the definition of more specific Activities. These activities can be understood as the ‘things that need to be done to make an Action work’. The specific Activities will guide planning and implementation of the TAPs and reduce the chance of ambiguity.<sup>14</sup>

**Table 6. Identification and Description of specific Activities to support Actions**  
(Measures shown only serve as illustrative examples; corresponds to Table 6 in spreadsheet tab ‘Preparation (Steps 1-2)’)

<b>Action #1</b>	<b>Expand Access to Finance</b> through the identification of commercial, near-commercial and non-commercial / donor resources available to implement support activities, projects and other initiatives; organise specific risk management and mitigation tools to enable implementation; bring together finance providers and developers; and, undertake to-be-determined activities in response to the identification of implementation gaps.
<b>Action #2</b>	<b>Improve Access to Products and Services</b> through business to business engagement; expanding technical advisors; open source information sharing on products and services; and, other to-be-determined activities as and when additional needs are identified.
<b>Action #3</b>	<b>Improve Policy and Enabling Environment</b> through new legislation; improved “one stop-approvals; marketing opening for products and services; and, access to finance.
<b>Action #4</b>	<b>Expand Capacity Building Initiatives and Collaboration</b> through workshops targeted at specific supports sectors; workshops to stimulate interest in a specific technology; development and management of open source information sharing; and, consideration of to-be-determined activities as and when needs are identified.
<b>Action #5</b>	<b>Implement Information Gathering and Sharing</b> through the creation of a database; promotion of improved approval procedures; articulation of benefits; and, general promotion of supportive materials aimed at improving public awareness.
<b>ACTIVITIES:</b>	<b>Action 1: Expand Access to Finance</b>
<b>Activity 1.1</b>	<b>Identify commercial resources</b>
<b>Activity 1.2</b>	<b>Organise risk management tools and techniques</b>
<b>Activity 1.3</b>	<b>Hold a workshop for technology development financiers</b>
<b>Activity 1.4</b>	<b>Other access to finance activities</b>
	<b>Action 2: Improve Access to Products and Services</b>
<b>Activity 2.1</b>	<b>Organise business-to-business (B2B) trade show and network</b>
<b>Activity 2.2</b>	<b>Identify and attract technical advisors</b>
<b>Activity 2.3</b>	<b>Create web-based product and services clearinghouse</b>
<b>Activity 2.4</b>	<b>Other access to products and information activities</b>

<sup>14</sup> For further background information about how these activities can help acceleration of a technology within a sector/country context, the reader is referred to TEC Brief #7 – Strengthening national systems of innovation to enhance action on climate change (November 2015)

	<b>Action 3: Improve Policy and Enabling Environment</b>
<b>Activity 3.1</b>	<b>Draft and adopt legislation including appliance labelling and regulatory fitness and performance</b>
<b>Activity 3.2</b>	<b>Adopt fast-track, one-stop approval process</b>
<b>Activity 3.3</b>	<b>Host high level: "market opening workshop"</b>
<b>Activity 3.4</b>	<b>Other identified policy and enabling environment activities...</b>
	<b>Action 4: Expand Capacity Building Initiatives and Collaboration</b>
<b>Activity 4.1</b>	<b>Government, civil society and financial sector workshops</b>
<b>Activity 4.2</b>	<b>Developer workshops</b>
<b>Activity 4.3</b>	<b>Open source web site and programme management</b>
<b>Activity 4.4</b>	<b>Other Capacity Building and Collaboration Items</b>
	<b>Action 5: Implement Information Gathering and Sharing</b>
<b>Activity 5.1</b>	<b>Compile and distribute existing site-specific pre-feasibility data</b>
<b>Activity 5.2</b>	<b>Distribute "one-stop" shop procedures</b>
<b>Activity 5.3</b>	<b>Identify and promote social, environmental, economic and financial benefits</b>
<b>Activity 5.4</b>	<b>Other information gathering and sharing activities</b>

It should be noted that it is possible to combine Actions and Activities in support of different technologies, if and when overlaps and/or complementarities, and therefore efficiencies, can be identified. For example, it may be possible to pursue combined legislative and regulatory efforts such as a single package of energy and water efficiency and conservation standards. Such “bundling” is beyond the scope of this guidance and varies significantly in scope and practicability between countries, but it is an option that can be considered by TNA stakeholders.

## 2.4 Project Ideas

Some of the Actions and/or Activities presented in the TAPs can be delivered as Project Ideas, which aim to attract funding for the implementation of a TAP, or at least elements of the TAP. For example, if an Action aims to demonstrate a new prioritised technology within the country context, a specific demonstration project could be formulated as a Project Idea. Alternatively, if an identified Action focuses on implementing a small-scale technology in the rural areas of the country, a Project Idea could identify the number of technology units needed, stakeholders to be involved, the timeframe for activities and corresponding costs, following the guidance in the next Steps. Which Actions should be taken forward as Project Ideas remains the decision of the country’s TNA stakeholders.





Irrigation of food crops during the dry season in drought-affected Nicaragua, made possible by the use of special reservoirs to capture and store excess rainwater during the country's rainy season. Photo credit: Neil Palmer/CIAT



# Step 3 – Identify stakeholders and determining timelines: Who and When?

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This step covers how to identify the stakeholders to be involved in the implementation of the Actions, and scheduling and sequencing of the specific Activities. At this point, the components of a complete and balanced TAP and related work plan (“Activities”) are taking shape. The next steps in the preparation of the TAP are to further define these activities, based on three inter-related questions:

1. Who will be involved in carrying out the various activities (Step 3)?
2. When will these activities take place (Step 3)?
3. What are the resource requirements, in terms of financial and human resources, for implementing the Activities (Step 4)?

This information should be presented in a matrix such as in Table 7, indicating the various stakeholders and their roles and/or responsibilities and showing when actions will start and finish. This table should be included in the TAP report, as a summary of the key information.

## 3.1 Identifying Stakeholders to implement the TAP

Each activity may involve multiple participants or interested stakeholders. Effective management requires that one institution (e.g., Ministry of Energy) and, preferably, a set of individuals within the institution have **primary responsibility** for implementing a given activity. It is important that those charged with driving forward the implementation feel sufficiently committed to the success of the TAP.

This responsibility, and the corresponding authority to act and report on progress, should be defined as clearly and as early as possible. If an oversight committee or body exists. e.g. TNA Committee,, then that body should formally assign this responsibility, authority and the resources needed to carry out the activity.

In addition to assigning primary responsibility to managing a given activity, *secondary* (or supporting) responsibilities should also be specified. For example, an official in the Ministry of Finance may have responsibility for donor relations crucial to completing an activity. These donor relations may appear secondary to the planning and implementing of an activity in, say, the Ministry of Energy. Nevertheless, these secondary responsibilities and duties need to be made explicit and recorded, since their proper execution may be a precondition for the success of the primary activity.

A key element of this step is to organise the Activities clearly among the stakeholders in the public and private sector in the country, including technology suppliers, finance practitioners and governmental institutions responsible for creating an enabling investment environment. It is recommended to make use, as much as possible, of in-country capacities, both from the sector concerned and other sectors, thereby safeguarding a balanced representation of women, men and youth and ethnic groups. Not only does this support mobilising existing practitioners’ knowledge for successful implementation of actions in the TAP, it also supports in-country collaboration, networking and capacity-building on development and transfer of low emission and climate resilient technologies.

It may not always be feasible, within each identified organisation, to specify persons with primary or supporting responsibilities. Moreover, identified stakeholders may, during the implementation process of the TAP, change jobs. Nevertheless, it is important that the institutions remain ‘on board’ and that new stakeholders are identified to take part in the implementation. It is also important to keep in mind that many potential stakeholders are busy and often under-resourced people so that their engagement and motivation in the process deserves special attention. Therefore, TNA teams need to think of ways **involve stakeholders** in the design of TAPs, taking into account the following points:

- Creating and maintaining motivation and incentives for continuous stakeholder involvement in TAP implementation, considering possibly:
  - *Personal/institutional interests and “co-ownership” of the process*: stakeholders find it interesting to be part of the TAP implementation process, as it is directly related to national climate-change policy making in the context of national development planning. This enables them to acquire ‘co-ownership’ of the process, especially when backed by line Ministries.
  - *Acquisition of additional information*: A TAP, with its policy makers’ contacts and intense exchange of climate relevant information, can be interesting for stakeholders to be part of, as it may provide them with insights that they would otherwise not have heard of.
  - *Networking*: collaborating on a TAP offers an attractive off-line networking opportunity for stakeholders to meet face to face.
- A protocol is required, together with organisations identified in Table 7, for the replacement of persons who leave the organisation or change positions.

In the process of identifying stakeholders, it is recommended to consider a role of the country’s NDE in the implementation of the TAP, since close involvement of an NDE will help stakeholders to identify needs that could be supported through a request to the CTCN. Further information on planning activities and assigning responsibilities is available in the “TEC Brief – Using road mapping to facilitate the planning and implementation of technologies for mitigation and adaptation.”<sup>15</sup>

### 3.2 Scheduling and sequencing of specific activities

For each activity, a time span should be indicated (see Table 7). This time span depends on several factors, including:

- The sequence of activities: will activities be implemented at the same time or can an activity only start when an earlier activity has been completed?
- Whether the technology is available or needs to be modified for country conditions in the short term so that actions and implementing activities focus on short vs. long-term implementation of the technology
- The nature (and scale) of the action and activities: an infrastructure support action may require a relatively long timeline, whereas setting up a supply line via hardware stores for low-emission household appliances could be arranged in a relatively short period of time.
- Whether an Action and its implementing Activities are aimed at supporting a larger scale (national or regional) programme for the diffusion of several small-scale technologies. In such an example, the Action

15 TEC Brief – Using roadmapping to facilitate the planning and implementation of technologies for mitigation and adaptation

may require that, instead of implementing all technologies in one go, sub-programmes are formulated which are implemented region by region. In total, the timeline for the Action and implementing Activities may be, for example, 15 years, covering three sub-programmes of 5 years each.

**Table 7. Characterisation of activities for implementation of actions**  
(corresponds with Table 7 in spreadsheet worksheet ‘TAP (Steps 3-4)’)

		Planning		Implementation		Responsibility	
		Starting date?	When Complete?	Starting date?	When Complete?	Primary	Secondary
<b>Action 4: Improve Access to Products and Services</b>	Activities:						
	2.1 Organise Business-to-Business trade show and network	June '17	Sep '17	Dec '17	Feb '18	Ministry of Energy (B. Jones)	
	2.2 Identify and attract technical advisors						
	2.3 Create web-based product and services clearing house						
	2.4 Other access to products and information activities						





Tea pickers in Kenya's Mount Kenya region. Photo credit: Neil Palmer/CIAT



# Step 4 – Determining Capacity Needs and Estimating Costs and Funding Needs

This step covers capacity building as well as financial, technical assistance and other requirements to implement the Actions and Activities that will build or strengthen the enabling framework for a given technology. Determining the resources needed is a sequential process and stakeholders may require capacity enhancement in order to estimate the cost of Actions and Activities. This may involve training, support services, the provision of hardware and software. Step 4 in the guidance is therefore organised as follows:

- Step 4.1 – Capacity building requirements for implementation of the TAP
- Step 4.2 – Estimating the cost of Actions and Activities

It should be noted that the TNA process itself does not provide funding for capacity building or for the implementation of Actions and Activities in the TAP; the TNA process only identifies the capacity and funding *needs* for future implementation of the TAP. These needs may also be shared with the country's NDE, who can formulate them as a request for technical support and advice through the CTCN.

## 4.1 Capacity Building requirements for implementation of the TAP

At this point in the process of preparing a TAP, the consultants and stakeholders will be keenly aware of the work that needs to be accomplished in the time ahead. They are also likely to be aware of the skills of men and women and tools needed to succeed in that work (Box 2 shows an example of the required human resource and skills), and which need to be known when estimating costs (in Step 4.2).<sup>16</sup>

### Box 2. Examples of required human resource and skills

- ✓ Estimating-cost and human resource “time on task” for each Activity and its components
- ✓ Financial Planning: calculating the financial resource requirements of Activities and the determination of efficiencies and inefficiencies, revenue and cost potential, capital and operating requirements to succeed
- ✓ Project management
- ✓ Business management
- ✓ Market development
- ✓ Financing: identifying, coordinating and securing the financial resources needed to implement Activities
- ✓ Engineering, Design and Construction, technical (e.g., geo-technical analysis) and non-engineering skills (e.g., contract preparation) requirements of Activities and components
- ✓ Technology Deployment: sequencing and estimating of such strategy / tactic combinations as “demonstration, proof-of-concept, near-commercial and commercial deployment”
- ✓ Technology Diffusion: Planning for Scale-converting “deployment strategy and tactics into ones that offer greater impact and shorter diffusion and market development cycled.

<sup>16</sup> Some Activities will be as basic, such as “Fund and Increase Ministry of Energy Capacity to Estimate Infrastructure Investments”. Some will be more complex and less time-bound, such as “Designing a subsidy scheme”. Some of these more complex Activities might even pull together a number of different Actions and Activities by grouping certain crosscutting features

As part of this human capacity building it is important to also estimate, fund and provide *hardware and software* such as computers, project management programmes, estimating spread-sheets and budgeting templates. In addition, it is necessary to provide expert *support* services to ensure that the relevant skills are applied in the planning and implementation of specific Actions and Activities. These estimates should be part of the cost estimates covered in step 4.2, below, and included in the TAP spreadsheet columns on 'capacity needs' under tab on 'TAP (Steps 3-4)'.

## 4.2 Estimating the Cost of Actions and Activities

### Typologies of Actions and Activities for simplified cost calculation methods

At this point in the TAP preparation process – where capacity building needs have been identified – it is now necessary to estimate the costs and funding needs of the specific Actions and Activities. Given that most countries face serious budget constraints, the main objective of this step is to support TNA stakeholders in making cost-estimates that are sufficiently informative for potential funders to make balanced funding assessments, based on realistic and easily obtainable data (as explained in the introduction to this guidance<sup>17</sup>). In order to keep cost estimates straightforward, we recommend grouping the Actions and Activities into the following categories:

- **Type 1** – Actions and Activities aimed at *preparing a full programme* for the diffusion of a prioritised technology. Actions and Activities lean heavily on the public sector and international donors for funding.<sup>18</sup>
- **Type 2** – Actions and activities aimed at the *implementation* of a full programme for the diffusion of a prioritised technology.<sup>19</sup>

The cost estimates and external funding needs should be reported in the spreadsheet under the tab for 'TAP (Steps 3-4)', in columns 'Costs' and 'Who will fund', though here it may be more useful to simply indicate the type of funding required, not the precise source.

### Estimating costs of Type 1 Actions and Activities – preparing a full programme

Estimating the cost of Actions and Activities in support of a full programme is relatively straightforward and involves answering questions such as: “*What are the basic and incremental costs of, for example, drafting, considering, approving and putting into law an efficiency standard for end-use energy appliances?*” Firstly, in order to estimate the costs, funding needs to be available to cover the time of the responsible institutions and individuals who will assist in the drafting and consulting with decision-makers and other stakeholders. Secondly, it involves estimating the incremental costs, for example, input from energy efficiency experts.

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17 This guidance takes as a principle that investment proposals in a completed TAP should be at a level which is sufficiently detailed and informative for potential funders to consider for funding (i.e. suitability with the funders' own criteria), so that further detailed funding proposals can be developed, beyond the TNA, using funders' own templates

18 Some Activities will be as basic, such as “Fund and Increase Ministry of Energy Capacity to Estimate Infrastructure Investments”. Some will be more complex and less time-bound, such as “Designing a subsidy scheme”. Some of these more complex Activities might even pull together a number of different Actions and Activities by grouping certain crosscutting features

19 Most of such activities will be complex but very concrete, such as “Design and Implement a Programme of Small Hydroelectricity Facilities Totalling 120MW” or “Deploy Off-grid Solar to 100,000 homes.” This type of action and activity leans more on the public *and* the private sectors, and it is important to distinguish commercial versus near-commercial or donor funding

This type of cost estimation is straightforward insofar as the main challenge is calculate the human effort and direct expenses involved, thus covering:

- Expected time on task (in hours, not person-years; otherwise the estimate grows very rapidly);
- Average cost per hour;
- Reasonable allowances for direct expenses (local travel in USD per person; long-distance travel in USD per person);
- Meeting costs in USD per day; and,
- Consultant costs in USD per day

Thirdly, this type of cost estimation should distinguish between “Time on Task and Expenses Covered” (for example, an allocation of 20% of the time of a separately and previously funded person) and “Incremental Costs Needing Funding”. To this estimated budget should be added 5% to 10% for programme management and an estimated 15% or more for “contingencies”, in particular to cover delays. In concluding this exercise, the TAP team can test the estimates for experience-based reasonableness and adjust accordingly.

### Estimating costs of Type 2 Actions and Activities – implementation of a full programme

For Type 2 Activities that involve **programmes aimed at delivering (market-based) products or services** to un-served households, small businesses and communities, the estimation of costs follows the approach as suggested in the example presented by Nygaard and Hansen (2015)<sup>20</sup>. In this approach, it is assumed that there is already an established local ‘delivery system’ of importers, retailers and maintenance companies, which only require some external support in terms of subsidies, finance schemes and quality control in order to increase the competitiveness of the prioritised technology, and that this programme will support the diffusion of technology on market conditions.

Cost estimates for these Actions should already have been made, or estimated, in the TNA Deliverable ‘*Barrier Analysis and Enabling Framework*’, which requires figures for ‘programme costs’ for each identified measure.<sup>21</sup> If these cost estimates are deemed to be sufficient and reliable then they can simply be used in the TAP report, with no extra work required.

For Type 2 Activities that involve **infrastructure construction and investment programmes** (e.g., for renewable energy, energy efficiency, water systems, sanitation improvements, erosion prevention and so on) “quick estimates” can be prepared by combining three variables:

1. The **Scale** of the envisioned technology programme as established in the prioritisation process (e.g., a programme comprised of a set of small hydroelectric projects that expects to total 120 MW).
2. **Construction costs:** to be based on available (online) data,<sup>22</sup> such as USD 1.5m to USD 2.5m per MW for construction and small hydro equipment, resulting in total costs of USD 180 million to USD 300 million.<sup>23</sup>
3. **Costs related to project or programme development and interest rates:** For example, practitioners in the area or sector could estimate that typical project/programme development costs

20 In particular, the cost estimates in section 6.3 of Nygaard and Hansen (2015)

21 See for the guidance on costs of measures: Nygaard and Hansen (2015), pp.49-50

22 A roster of sites with such data are available in the cost calculation help worksheet in the Excel Spreadsheet for the TAP

23 Estimating at this stage is aimed at determining “reasonably accurate ranges”, *not* precise single figures

of 5% should be added, with 1-2 years' interest payments of 10%, plus other project costs (*e.g.*, land acquisition and delays) of 15%. In our example: USD 180 million \* 30% = USD 234 million (or USD 1.95 million/MW).<sup>24</sup>

Once the costs are known, it needs to be determined whether the Actions and Activities require subsidies, and how much. To that end the potential revenues of a technology project or programme are estimated and compared with the costs, which leads to an internal rate of return (IRR). Where the IRR is higher than the rate required by commercial financial institutes, then in principle no subsidy will be needed, as the investment can (in theory) attract commercially financing. However, should the IRR be lower than for comparable investment projects, then the subsidy (or external funding need) can be determined by calculating the deficit between the calculated and commercial IRR.

This reasoning is specifically applicable to market-based technologies (products and services, as explained above), which generate revenues to counterweigh the cost, and for which the difference between revenues and cost determines whether and how much subsidy (or external funding) is needed. However, some of the prioritised technologies, for example, large infrastructure investment for adaptation to climate change or some publicly provided non-market goods<sup>25</sup>, are unlikely to generate revenue to cover their cost. In these cases, the need for external funding is determined by comparing the costs with the 'ability to pay'. In order to calculate for the required subsidies (or external funding), the TAP spreadsheet (see under 'Reporting' elsewhere in this guidance) contains a worksheet with calculations for three types of investments:

1. Programmes aimed at delivering market-based products or services,
2. Large-scale infrastructure technology projects,
3. Smaller-scale non-market technologies

Alternatively, should the above calculations require too many resources within the TNA process or be surrounded by too many uncertainties, approximations can be used for estimating commercial versus the near-commercial components of these investments. For example, a population percentage of "ability to pay" or "requiring subsidy" can be applied, based on:

- Consultation with a few "on-the-ground" public sector, civil society and product enterprises, and
- Supporting data to conclude that "15% of the serviced population cannot afford any payment, while an additional 20% can afford about one-half the expected final cost".

Applying this result to an order of magnitude estimate of USD 16.25 to USD 32.5 million would provide a rough estimate of a subsidy range equal to 25% of the full cost (15%+ 20%/2). This estimate is not a perfect, but nevertheless a reasonable basis for "ground truthing" and discussion. A second way of estimating public versus private, commercial versus subsidy, is to calculate a baseline rate per system or unit of output (say USD 0.30 per kWh or USD 15 per month per system). As in the case of infrastructure investment, a rate of return (positive or negative) can be calculated against the cost of the baseline technology (usually the cheapest or most widespread), in order derive the required 'subsidy'.

<sup>24</sup> The objective of this estimating and subsequent exercise(s) is not precision but "order of magnitude and reasonableness." The and I of detail and consultation suggested here will meet that standard

<sup>25</sup> See section 6.3 of Nygaard and Hansen (2015) for a definition (Footnote 4)

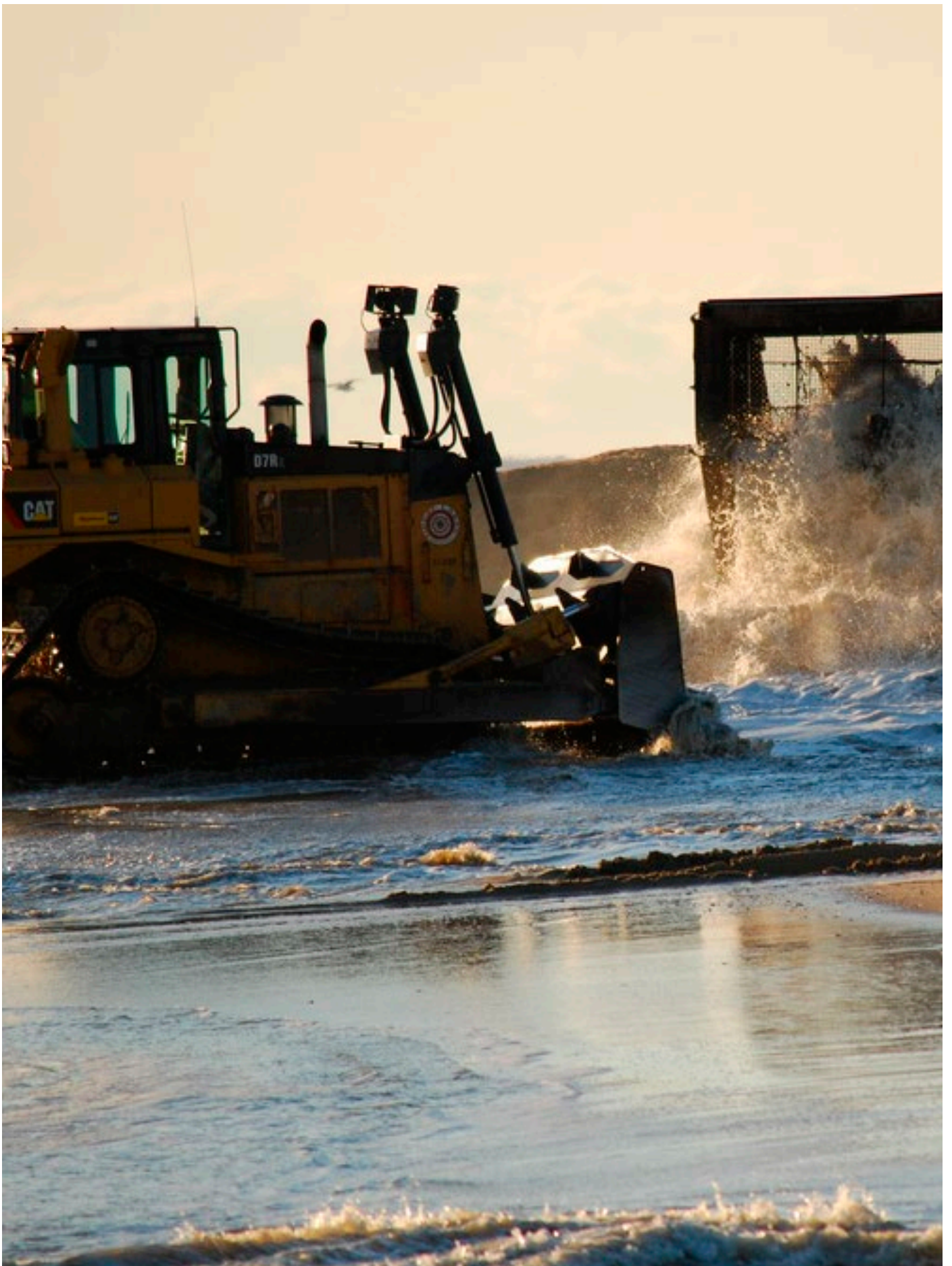


### 4.3 Identify funding sources

Once the need for subsidies or external funding has been determined for each investment, **possible funding sources** need to be identified. For that, it is important to clearly identify which funding source is most applicable for the investment / technology in question, i.e. small or large scale, market or non-market, mitigation or adaptation, etc. The purpose of specifying the different cost types and items in Step 4.2 is to help identify suitable public or private funding, such as grants (public funding), commercial loans (private funding), cost-sharing constructions (private), subsidies (public), and revenues from goods and services provided (private). For example, costs related to bringing people together to accomplish an activity (an example of a type 1 preparatory costs) usually require donor or government funding, whereas market-based projects (a type 2 cost example) are more relevant to private sector funding (e.g., a commercial loan for the capital expenses to be covered by cash-flow revenues from the project). The distinction between potential public and private funding should also be included in the report for this step (in the reporting spreadsheet, see 'Reporting'), to indicate which part of the TAP is closer to commercial viability, and which aspects require public funding. Guidance on how to identify and distinguish between suitable sources is available via the *Finance Guidebooks* that are available at: <http://www.tech-action.org/Publications/TNA-Guidebooks>.<sup>26</sup>

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26 One guidebook supports Accessing International Funding for Climate Change – Adaptation; a second guidebook supports Accessing International Funding for Climate Change – Mitigation as well as in the UNFCCC Guidebook on Preparing Technology Transfer Project for Financing which is available at: <http://unfccc.int/tclear/>



Re-nourishing beaches. Photo credit: Ann Cameron Siegal

# Step 5 – Management Planning

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This final step covers risk handling, contingency planning, next steps and reporting. Whether an Activity encompasses regulatory reform, capacity building, infrastructure investment or a programme to develop a market, deploy new products or services, there is always a need for project management, monitoring, evaluation, course corrections and additional contingency planning. With these risks and contingencies defined, and processes harmonised between country-level standard procedures and broadly understood “best practices”, it is possible to plan the “Next Steps” for a TAP.

## 5.1 Risks and Contingency Planning

Despite careful planning of the actions, including responsibilities and costs, uncertainties will remain about what the actual implementation of the TAP will look like. For example, as explained in Step 3, stakeholders identified for carrying out certain tasks may no longer be available, or some costs may be higher than estimated in Step 4. These uncertainties imply the risk that a TAP will be less effective in supporting technology implementation than expected. In order to mitigate these risks, this step helps to identify potential risks and formulate possible contingency measures.

As each action (and the related activities) in a TAP has its own uncertainty and risk profile, the risk and contingency planning starts at the level of actions (and activities). Nevertheless, action-level risk and contingency planning could lead to duplications when some actions (and activities) in the TAP are surrounded by similar uncertainties and corresponding risks. Therefore, it is recommended in this Step to consider the TAP as an overall strategy document and assess which actions (and activities) face similar risks, so that for these groups of actions common monitoring and evaluation and joint contingency planning can be developed.

In broad terms, risks fall into a few categories, some of which are elaborated below in Table 8, although it should be noted that the categories in the table are not exhaustive and only serve as illustrations. In practice there may exist risks related to national politics and macro-economic variables such as currency risks, etc., and there is the limitation that not all risks may be known beforehand:



**Table 8. Overview of risk categories and possible contingencies**  
(corresponds with Table 8 in spreadsheet worksheet ‘Management (Step 5)’)

Risk item	Description	Contingency action
<b>Cost Risks</b>	An activity costs more than originally planned	When doing the calculations, a line should be created for adding “contingencies” after consulting with experts in the respective field. This might involve adding 25% to a construction estimate or 15% to the estimate for the cost of running a meeting of the public and private sectors in-country to discuss how to improve “doing business conditions”
<b>Scheduling Risks</b>	An activity takes longer to complete than originally planned	Allow for step-by-step schedule slippage. Identify critical path items, whose delay stalls all progress on an Activity or even an Action Item
<b>Performance Risks</b>	A technology or human resource does not perform as planned or environmental and social benefits not being delivered	This is the most difficult contingency to plan for, and it is wise to have backup plans. Realistically, Performance Risk can be catastrophic to an Activity (water to wire conversion on a hydro facility is only 2/3rds of what was expected) to trivial (a speaker fails to arrive), as are the contingency planning responses (for performance of infrastructure make sure the performance risk belongs to the contractor or supplier before accepting delivery and commissioning; for missing speakers, get slides in “notes view” well in advance of meeting).

In Table 8, examples are shown of contingency actions to mitigate potential risks, which can be repeated for other risks identified in the TAP. In some of these examples, flexibility is created in the TAP so that should the risks become reality, the effectiveness of the TAP as a whole is not jeopardised. In other situations, however, such as the risk of bankruptcy of a crucial supplier during the implementation of the TAP, immediate action will be required. For these situations, it is important to organise a protocol for spotting deviations from the planned implementation of an action (or activity). For that it is recommended to agree on:

- Time intervals for monitoring and evaluating the performance of the TAP and its actions and activities (e.g., monthly or annually);
- Stakeholders in the country who are responsible for this monitoring and evaluation;
- When contingency measures are required (e.g., when is TAP implementation in trouble?); and
- Responsibilities and timing, as well as costs, for the contingency measures (for which Steps 3 and 4 in this guidance can be used again, if needed).

With these steps:

- Risks identified during the preparation of the TAP can be adequately handled if spotted during implementation of the actions, and.
- Unexpected risks and their consequences can be adequately spotted and handled.

## 5.2 Next Steps

While the sum and substance of a well prepared TAP reflects the steps from Actions to Activities, it is important for the TAP authors, consultants and stakeholders to focus on two categories of Next Steps: Immediate Requirements to Proceed and Critical Steps to Succeed. Identifying the immediate and critical requirements enables both a sharper focus of what to do, and how to secure the right resources. It is recommended that cost estimates are made for these requirements (using the guidance in Step 4), so that countries can move quickly towards implementation. In most cases countries will require financial support for the next steps. An example of identifying such requirements is shown in Table 8.

**Table 9. Example of identification of immediate requirements and critical next steps**  
(corresponds with Table 9 in spreadsheet worksheet 'Management (Step 5)')

<b>Immediate Requirements:</b>	A task manager within the Ministry of Energy must be funded, selected and assigned full-time and provided with the following tools and resources: e.g. access to a financial analyst and cost estimation expertise; and, planning, scheduling and “project management” hardware and software, and other immediate activities required.
<b>Critical Steps:</b>	Legislation and supportive regulations must be drafted, endorsed and passed to enable the feed-in tariffs and incentives for private sector run-of-river small hydroelectric projects, which are presently limited to state-owned concessions.



Cassava experimental station, near Luang Prabang, Laos. Photo credit: Neil Palmer/CIAT

## Step 6 – Reporting

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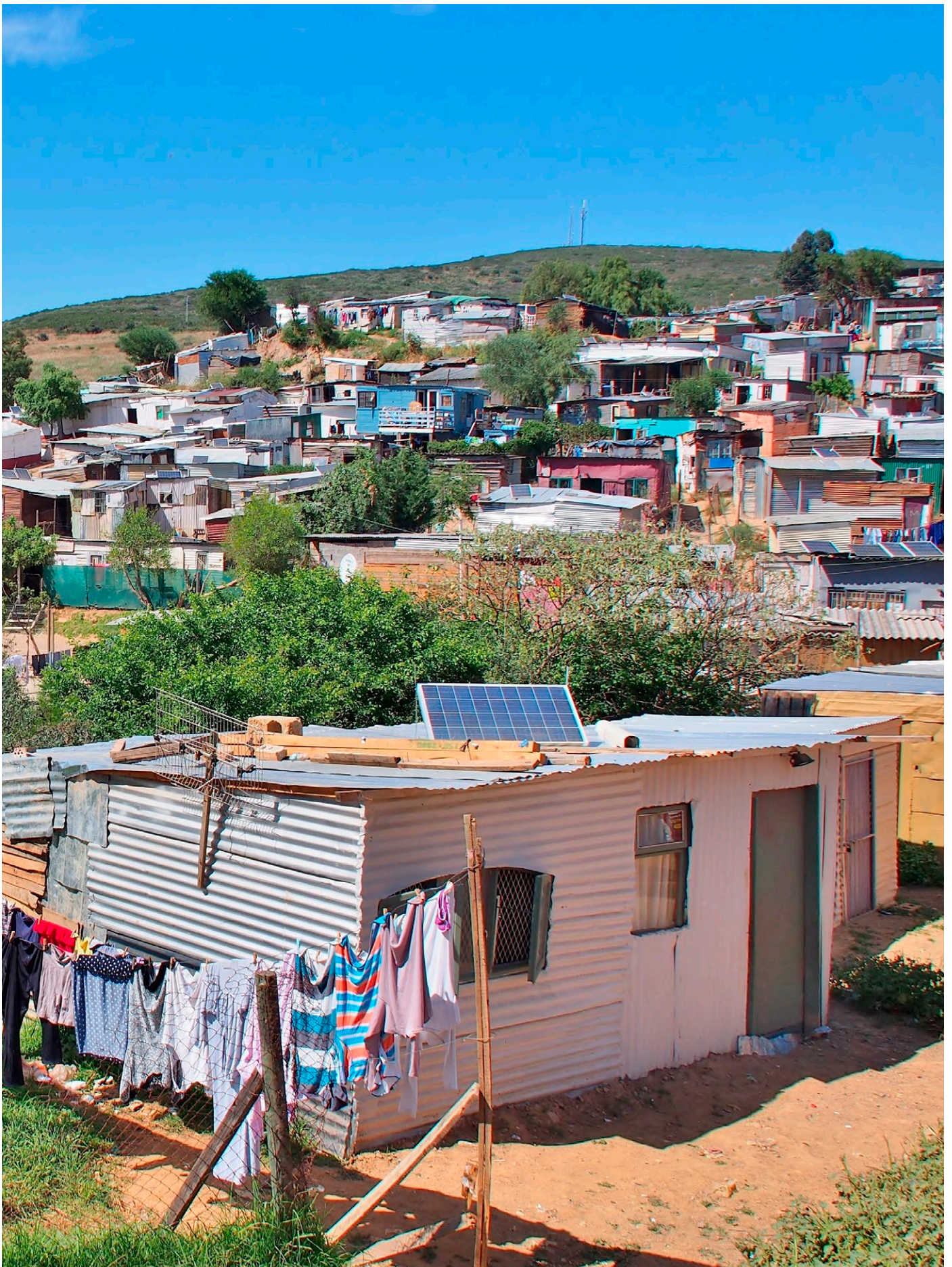
The information collected by working through the above steps is collected in a series of tables (as illustrated for each step), which together form a TAP. A spreadsheet has been developed to accompany this guidance document, which reflects the tables explained in this document.<sup>27</sup> The core of the spreadsheet is the tab 'TAP (Steps 3-4)', which is based on the summary table (7) in this guidance. The tab 'Preparation (Steps 1-2)' collects the information needed for the TAP, which is complemented by the tab on 'Management (Step 5)'.

Finally, the spreadsheet contains an 'Executive summary' tab, which helps to produce a TAP summary table as in Table 9, which summarises the key data from all Steps in this guidance 'at a glance'. All of these worksheets are printable on A-4 standard format. Alternatively, the worksheet tables can be copied into Word so that explanatory notes can be added to the tables.

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<sup>27</sup> The spreadsheet is available at <http://www.tech-action.org/Publications/TNA-Guidebooks>





Informal settlement – Enkanini with mountain and blue sky on the outskirts of Stellenbosch, Western Cape province, South Africa. Many shacks in Enkanini have solar panels for access to electricity. Photo credit: MrNovel/Shutterstock.com



# Step 7 – Tracking the implementation status of TAPs

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## 7.1 Why track TAP implementation

To increase the exchange of knowledge and experience sharing between countries and to enhance national and international awareness of the potential of TNAs and TAPs to upscale technology transfer, improved tracking of implementation status of the TAPs and their actions would be very useful.

Therefore, it is suggested that, after TNA project completion, a system for tracking the status of TAPs is set up in the country which has prepared TNA and TAPs. Since the tracking of TAP implementation status is done after TNA project finalization and the years to come, the tracking will be done by countries on a voluntary basis.

Because it is important to learn from all types of experiences, tracking of the TAPs is not only a tracking of the successful implementation but also of TAPs which are still in the process of reaching implementation, to include both success stories and challenges.

The information generated through the TAP tracking system will be used to systematically collect and share experiences on how and if countries have been able to attract financial and technical support for implementation of TAPs. This would form a good basis for countries to learn from each other and replicate experiences from other countries. It will allow promotion of further implementation of TAPs and improve stakeholder engagement within the TNA country.

The information reported through the TAP tracking system should be presented in a simple table format as a summary with key information on TAP implementation status, to limit the resource implications for reporting entities.

## 7.2 Who reports

The tracking of TAP implementation may involve several focal points as specified in Step 3 of the guidance for preparing TAPs, where stakeholders were identified and assigned responsibility to manage a given activity in a TAP. While these stakeholders are key in driving the implementation of the activities, an effective tracking system may require that one single entity has the overall TAP status tracking responsibility, with a designated person for this task. The stakeholders responsible for the activity implementations should then report to the overall TAP tracking entity. This entity could be the legal entity for the TNA project in which the TNA coordinator is based, it could be the National Designated Entity (NDE) for the development and transfer of technologies, or it could be a third option chosen by the country.

Similar to the identification of stakeholders for the TAP implementation in section 3.1, it is important that the entity with the overall tracking responsibility feels sufficiently committed to follow the implementation status of the TAPs and to report on a regular basis. It would also be an advantage if the responsible entity is familiar with the TNA project, its stakeholders, and its TAPs and project ideas. An illustration of the reporting structure is given in the Figure 4 in the following section.

### 7.3 What to report

The reporting should be done by filling out a table, for each TAP selected for monitoring (minimum 4 TAPs per country, possibly having closest substantive link to NDC and NAP priorities), similar to the Table 1 below. The reporting table serves as basic template for reporting and could be modified or extended. The Technology Executive Committee (TEC) of the UNFCCC agreed that this set of information would be very helpful in informing Parties to the UNFCCC and other interested stakeholders on the status of the TAPs. Such a monitoring (tracking) would also be very helpful for the TAP’s further promotion within and beyond the UNFCCC, for their possible financial support. The information collected in this table would provide adequate basis for the UNFCCC Technology Mechanism bodies (TEC and CTCN), and the UDP to keep track of implementation status and to share the information through various channels. The country may choose to report on all TAPs or it may decide to keep track of a selected number of TAPs (minimum 4 TAPs per country).

**Table 10. Types of information required**

<p><b>TYPE 1 INFORMATION</b> Problem Addressed and Barriers Identified</p>
<p><b>TYPE 2 INFORMATION</b> Initiative(s) Identified</p>
<p><b>TYPE 3 INFORMATION</b> Linkages to Other Processes</p>
<p><b>TYPE 4 INFORMATION</b> Status or Progress of Initiative(s)</p>
<p><b>TYPE 5 INFORMATION</b> Contact and Other Available Information</p>
<p><b>TYPE 6 INFORMATION</b> Next Steps and Resources Needed</p>



In the Table 10, different types and levels of information that offer significant potential for gathering “lessons learned” from TAPs are shown in fairly clear categories: Problem; Initiative; Linkages; Status; Information; and Next Steps. The following articles provide more information about these categories.

**Type 1 information** involves the definition of underlying problems, including barriers to progress. This is useful “lessons learned” information because it quickly sets the stage for possible application by others, it shortens the list of examples for others to study, and it targets readers’ interests. It allows for statement of the original results of the TNA-TAP (such as barriers identified for technology implementation) while creating the opportunity to update that statement if significant changes have occurred;

**Type 2 information** is comprised of the strategies, tactics, projects or activities (“initiatives” or actions identified in a TAP)<sup>28</sup> originally and subsequently identified as addressing the problems and barriers. Such information can inform others how simple technologies and techniques can be used to address significant challenges. The following example illustrates the value of high-level priority setting to build both immediate and longer-term response capacity, and how advance planning can facilitate responses when problems have been anticipated;

**Type 3 information** indicates the all-important linkage of initiatives to other processes and plans, including national, UNFCCC and other plans. There have been ongoing discussions on harmonizing TNA with other processes under the Convention, including NAPs and NDCs. The main rationale for such harmonization is to identify measures, options, actions for climate change mitigation and adaptation that are in line with countries’ national sustainable development objectives. Such linkage will be useful in showing efficiencies and synergies among different processes and demonstrating continuity. In addition, the linkages would also ensure that the processes are well harmonised for an effective linkage with the financial mechanism;

**Type 4 information** reports the current status of TAP actions. Such information will inform others on the requirements of implementation. As the following example notes, the level of detail (“granularity”) in such reports is particularly useful in illustrating the applicability of an example to another setting. This example is also a particularly instructive example of problem statement along with barrier identification (Type 1 Information);

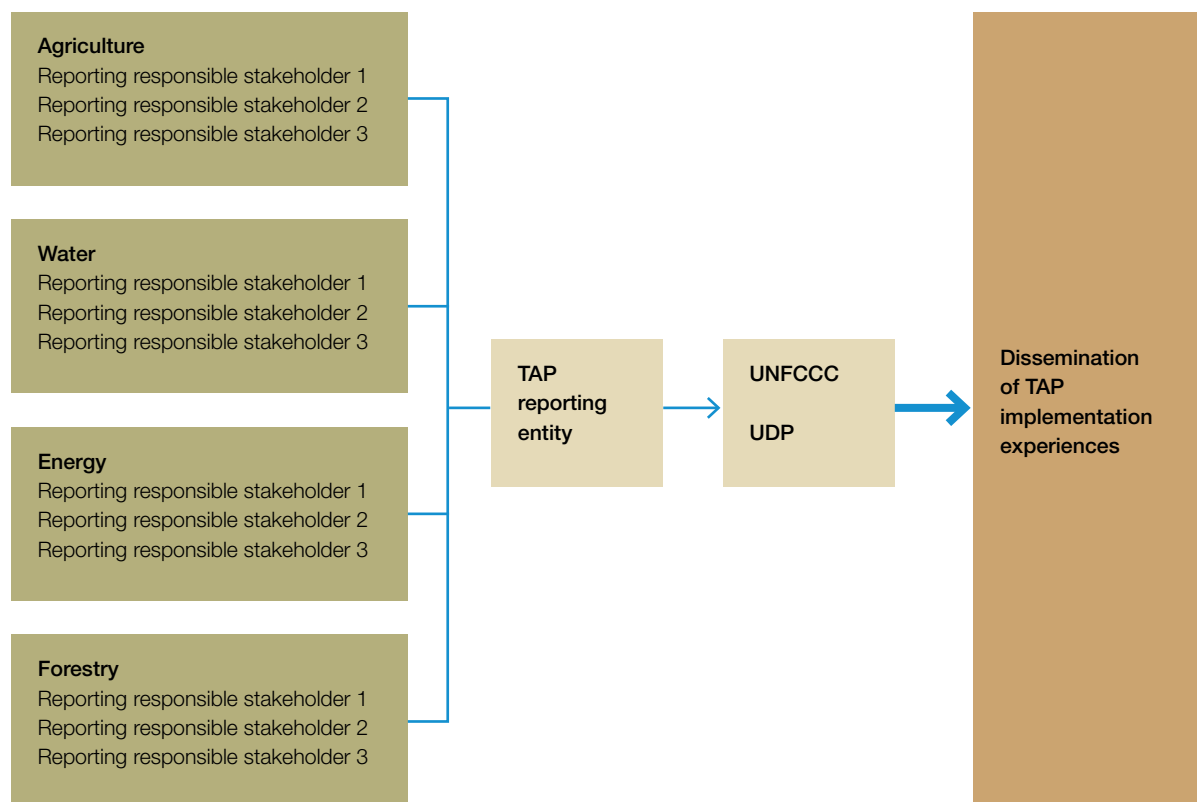
**Type 5 information** incorporates both contact details and additional information resources. Contact information is essential to the direct sharing of lessons learned. Additional information, if available, can foster greater collaboration and faster learning, often self-guided, and therefore cost effective;

**Type 6 information** involves next steps and needed resources. This information can inform forward-looking resource provision and assistance, and avoid the frustration of “having a good idea but nowhere to turn”. Linkage to “next steps” often accelerates the momentum of an initiative, as the following example illustrates, as well as highlighting information gaps that should be addressed to achieve the objective of “tracking progress” rather than just “reporting”.

28 Step 2 of the Guidebook Enhancing Implementation of Technology Needs Assessments; <http://www.tech-action.org/Publications/TNA-Guidebooks>.

**Figure 4. TAP tracking reporting and dissemination**

**PRIORITIZED SECTORS & TAPS**



**7.4 How to report**

Once the entity responsible for the TAP tracking has collected the required information and filled out the table for each of the TAPs being tracked, the table should be submitted to the UNFCCC and UDP.

The reporting should be done on an annual basis and the TAP reporting entity will receive a request from the UNFCCC and UDP.

The information reported through the TAP tracking system will be compiled and presented in a simple table format, as a summary with key information on TAP implementation status, with the aim to limit the resource implications for reporting entities. The information will be publicly available.

Entities responsible for TAP tracking may be invited to events (TNA workshops, TNA side events, etc.) to share their experiences and lessons learned from TAP implementation with other countries. The compiled TAP tracking information will be also shared with other countries and stakeholders through available knowledge sharing platforms, including TT:Clear of the UNFCCC.





Closeup of worker fixing solar water heater on top of roof during maintenance work. Photo credit: ThamKC/Shutterstock.com





Greenhouse project in Kenya, Sinteyo's community, which uses a solar-powered pump to water tomato plants throughout the year. The community now have crops to sell that don't rely on erratic rainfall. The greenhouse has given her community renewed hope. Photo credit: Annie Bungeroth/CAFOD

# Final Remarks

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Preparing a complete and balanced TAP is a step-by-step process that begins with the output of earlier TNA steps. It requires the participation and buy-in of key stakeholders, a clear process for moving forward and methodical commitment by a TAP team (ideally a sectoral or technology-specific working group) to various quantitative and narrative chores. However, by following these steps you can produce a clearly articulated plan and a specific, convincing request for financial and technical resources to help promote the uptake and/or diffusion of a specific climate technology in your country.

**Table 9. TAP Summary overview**

Sector	Water						
Sub-sector	Rain water harvesting (RWH)						
Technology	The household rooftop rainwater harvester referred to in this project is a 600 litres capacity tank, with a complete piping system from collection from the roof, to the outflow from the tank. The system will also have to provide for an absorption pit to channel unused or excess rainwater collected into it, in order to promote groundwater recharge.						
Ambition	The total number of housing units is about 250,000. Since the rainwater harvesting is a simple technology, with the appropriate incentives and legislation, some 25,000 housing units can be installed every year, over a period of 10 years.						
Benefits	Domestic rainwater harvesting systems can reduce mains-water consumption by around 50%. The rainwater harvesting technology requires relatively very low investments, low skilled labour and low operational costs, but provides high benefits. Many countries are realising that in the future surface and groundwater supplies will not be able to meet future water demand. Therefore, water conservation and development of alternative water supplies, including rainwater harvesting, will become a necessity in the near future in order to meet our growing demand for fresh water.						
Action	Activities to be implemented	Responsible body and focal point	Time frame	Risks	Success criteria	Indicators for Monitoring of implementation	Budget per activity
Remove economic and financial barriers	Financial incentives should be provided to consumers in the form of a soft loan to cover at least 50% of the purchase total cost.	Ministry of Finance and Economic Development	0-10 years	Demand becomes dependent on subsidies; therefore, subsidies have to be slowly phased out after the first 5 years	After 10 years, at least 70 % of target group should be using the technology, as intended.	Number of sold RWH systems, changes in households' consumption of piped water; Budget allocation for RWH within the annual budget	USD 3.5 million per year with full subsidy
		Public: Government, African Development Bank Private: Commercial banks participating in the funding programme together with public funders					
	Government expand access to finance for manufacturers to establish industries	Ministry of Finance and Economic Development	0-5 years	Suppliers will not be attracted	After 10 years, number of suppliers is increased with 50 %	No of suppliers of RWH units	USD 100 000



Promote small and medium local enterprises	Training of local manufacturers	Public: Government, African Development Bank Private: Cost-sharing by commercial training organisations	Ministry of Water	0-10 years	Manufacturers are not interested, replacement of people in the industry	Manufacturers' knowledge on RWH is increased	Number of manufacturers trained	USD 200 000 per year
	Enhance networking between local suppliers	Public: Government, African Development Bank Private: In-kind contributions by local circles of trusts with small and medium-sized enterprises	Chamber of commerce	0-10 years	Local suppliers do not see the benefits from participation in network(s)	After 5 years 75 % of local suppliers should be active in a 'suppliers network'	Number of suppliers who are member of a network, number of networks created	USD 200 000 per year
	Capacity building of local suppliers	Public: Government, African Development Bank Private: Cost-sharing deal with local commercial trainers	Ministry of Water, Chamber of commerce	0-5 years	Low interest from local suppliers	Local supplier's knowledge on RWH and their ability to sell the product is increased	Number of suppliers trained	USD 200 000 per year



The final step in the TNA process is the preparation of Technology Action Plans (TAPs), which support the implementation of the prioritised technologies, at the desired scale, within the country to achieve the climate and development benefits as identified earlier in the TNA. Concretely, a TAP is built upon the measures identified in a TNA for overcoming barriers to technology implementation and specifies how to implement these measures, including who is responsible, when, and from where to secure funding. As such, a TAP serves as a bridge between the analysis on prioritised technologies and their implementation.

This guide book is prepared based on a COP 20 request to the Technology Executive Committee (TEC) to provide guidance on how the results of the technology needs assessments (TNAs), in particular the technology action plans (TAPs), can be developed into projects that can be ultimately implemented.

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