



Convention-cadre sur les changements climatiques

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Mise au point et transfert de technologies

Deuxième examen du Centre-Réseau des technologies climatiques

Rapport sur le deuxième examen indépendant du bon fonctionnement du Centre-Réseau des technologies climatiques

Résumé

Le présent rapport contient les conclusions du deuxième examen indépendant du bon fonctionnement du Centre-Réseau des technologies climatiques. Il présente les principaux résultats de l'évaluation par thèmes (pertinence, efficacité, efficience, impact et durabilité), les conclusions de l'examen, des recommandations visant à améliorer les résultats du Centre-Réseau des technologies climatiques et les observations formulées par le Programme des Nations Unies pour l'environnement concernant ces recommandations.



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Abréviations et acronymes

| | |
|-------------------------------|--|
| AND | autorité nationale désignée |
| CDN | contribution déterminée au niveau national |
| CET | Comité exécutif de la technologie |
| COP | Conférence des Parties |
| COVID-19 | maladie à coronavirus 2019 |
| CTC | Centre des technologies climatiques |
| CRTC | Centre-Réseau des technologies climatiques |
| DTU | Université technique du Danemark |
| END | entité nationale désignée |
| FEM | Fonds pour l'environnement mondial |
| FVC | Fonds vert pour le climat |
| GES | gaz à effet de serre |
| ICAT | Initiative pour la transparence de l'action climatique |
| ODD | objectif de développement durable |
| | plan d'action pour la technologie |
| ONUDI | Organisation des Nations Unies pour le développement industriel |
| Partie non visée à l'annexe I | Partie non visée à l'annexe I de la Convention |
| Partie visée à l'annexe I | Partie visée à l'annexe I de la Convention |
| PNUD | Programme des Nations Unies pour le développement |
| PNUE | Programme des Nations Unies pour l'environnement |
| PSP | Programme stratégique de Poznan sur le transfert de technologies |

I. Introduction

A. Mandat

1. Le Mécanisme technologique a été établi par la Conférence des Parties à sa seizième session en vue de renforcer l'action menée dans le domaine de la mise au point et du transfert des technologies climatiques¹. Le Mécanisme est composé de deux organes : le CET, qui est son organe d'élaboration des politiques, et le CRTC, qui est son organe d'exécution.
2. À sa dix-septième session, la COP est convenue de dispositions visant à rendre le Mécanisme technologique pleinement opérationnel en 2012 et a adopté le mandat du CRTC² et un processus de sélection de l'entité qui accueillerait le CTC³. Elle a aussi demandé au secrétariat de faire procéder tous les quatre ans à un examen indépendant du bon fonctionnement du CRTC, dont les résultats, notamment les recommandations éventuellement formulées pour améliorer son fonctionnement, seraient examinés par la COP (en 2021 pour le deuxième examen)⁴.
3. À sa dix-huitième session, la COP a décidé de retenir le PNUE, chef de file du groupement d'institutions partenaires, comme entité hôte du CTC pour un mandat initial de cinq ans qui pourrait être renouvelé si la COP en décidait ainsi à sa vingt-troisième session⁵. Elle a aussi adopté le mémorandum d'accord entre la COP et le PNUE concernant l'accueil du CTC⁶.
4. Le rapport sur le premier examen indépendant du bon fonctionnement du CRTC⁷ a été soumis pour examen par les Parties à la vingt-troisième session de la COP, qui a décidé de renouveler le mémorandum d'accord entre la COP et le PNUE concernant l'accueil du CTC pour quatre années supplémentaires⁸.
5. À la suite d'une procédure d'appel d'offres conforme aux règles de l'ONU, le secrétariat a chargé EY et Associés (ci-après « le consultant ») de procéder au deuxième examen indépendant.

B. Mesures que pourrait prendre la Conférence des Parties

6. La COP sera invitée à examiner les résultats du deuxième examen indépendant du bon fonctionnement du CRTC et les recommandations formulées à cet égard, et à se prononcer sur l'opportunité de mesures complémentaires propres à en améliorer l'efficacité, en tenant compte des délibérations ultérieures des Parties sur cette question à la vingt-sixième session de la COP.

II. Méthode de travail

A. Champ d'application

7. Le consultant a organisé son travail d'évaluation autour de quatre thèmes :
 - a) **Pertinence** : La stratégie et les ressources du CRTC sont-elles pertinentes et adaptées, au regard des priorités définies par la COP et des besoins d'appui locaux ? Il s'agit ici d'examiner la cohérence des premier et deuxième programmes de travail et des plans opérationnels annuels par rapport au contexte extérieur, en tenant compte, par exemple, des

¹ Décision 1/CP.16, par. 117.

² Décision 2/CP.17, par. 133.

³ Décision 2/CP.17, par. 136.

⁴ Décisions 2/CP.17, annexe VII, par. 20, et 14/CP.23, par. 10.

⁵ Décision 14/CP.18, par. 2.

⁶ Décision 14/CP.18, par. 3.

⁷ FCCC/CP/2017/3.

⁸ Décision 14/CP.23, par. 5.

décisions de la COP, des besoins des END, des orientations générales du CET, de la collaboration avec les entités fonctionnelles du Mécanisme financier et des recommandations des examens antérieurs ;

b) **Efficacité** : Les objectifs du CRTC ont-ils été atteints en matière d'assistance technique, de gestion des connaissances, de transmission du savoir entre pairs, de renforcement des capacités, de mise en réseau et de mobilisation des parties prenantes ? Il s'agit ici d'évaluer les services rendus et les résultats obtenus par le CRTC en les comparant aux objectifs fixés et en prenant en considération les conditions réelles de fonctionnement ;

c) **Efficience** : Les objectifs du CRTC ont-ils été atteints de façon rationnelle ? Il s'agit ici d'évaluer le mode d'exécution de ses activités (sur le plan de la gouvernance, de l'organisation externe et interne, des ressources directes et indirectes, des délais et des processus, par exemple) et toute amélioration de la productivité de ses activités et services en relevant les difficultés rencontrées et les facteurs de réussite ;

d) **Impact et durabilité** : Le CRTC est-il parvenu aux résultats attendus et a-t-il produit des effets positifs à long terme ? Il s'agit ici de recenser les résultats observés et de les comparer à ceux qui étaient prévus, de déterminer les facteurs mis en jeu dans la réalisation ou la non-réalisation des résultats et d'évaluer la probabilité d'effets positifs tangibles et à long terme, ainsi que leur caractère reproductible.

8. Pour chacune de ces questions, le consultant a énoncé des questions subsidiaires et précisé les indicateurs et les sources de données à utiliser pour y répondre (voir l'annexe I).

9. Le présent rapport sur le deuxième examen indépendant complète celui sur le premier examen indépendant mentionné au paragraphe 4 ci-dessus et porte sur les opérations et activités menées par le CRTC du 1^{er} janvier 2017 au 31 décembre 2020. Il évalue : 1) la suite donnée par le CRTC aux recommandations issues du premier examen indépendant ; et 2) l'impact de ses activités depuis sa création. Les questions relatives à la pertinence et à l'efficience du CRTC sont traitées au regard du contexte actuel et de son mode d'organisation.

10. Le deuxième examen indépendant est fondé sur une analyse de portée mondiale, des régions ou des pays particuliers étant également passés en revue le cas échéant.

B. Plan de travail

11. Le consultant a élaboré la méthode ci-après pour l'examen indépendant :

- a) Phase de lancement ;
- b) Phase de collecte et d'analyse des données, y compris les activités suivantes :
 - i) Étude approfondie de la documentation existante, notamment en ce qui concerne la stratégie du CRTC, sa gouvernance, son fonctionnement, ses services et ses résultats (voir l'annexe VI), à partir de publications externes et de documents du CRTC (voir l'annexe II) ;
 - ii) Entretiens avec 19 parties prenantes, dont le Directeur du CRTC, des membres du personnel du CRTC venant du PNUE et de l'ONUDI, des donateurs, des membres du Conseil consultatif du CRTC et des partenaires du groupement (voir l'annexe III) ;
 - iii) Trois enquêtes⁹ menées par voie électronique auprès de 43 entités nationales désignées, de 118 partenaires du groupement, partenaires de la diffusion du savoir et membres du Réseau, et de 248 bénéficiaires de sous-projets du CRTC (voir l'annexe IV) ;
 - iv) Comparaison avec quatre organisations/initiatives ayant des activités similaires (voir l'annexe V) : le Centre africain des technologies climatiques hébergé par la Banque africaine de développement, le Réseau et Centre de financement des technologies climatiques pour l'Asie et le Pacifique hébergé par la Banque asiatique

⁹ L'enquête menée au cours de ce deuxième examen indépendant est appelée « l'enquête ».

de développement, le Centre de financement et de transfert des technologies climatiques hébergé par la Banque européenne pour la reconstruction et le développement, et le projet « Mécanismes et réseaux de transfert de technologies climatiques en Amérique latine et dans les Caraïbes » de la Banque interaméricaine de développement ;

v) Présentation et analyse des résultats préliminaires de l'examen à la dix-septième réunion du Conseil consultatif du CRTC, qui s'est tenue du 26 au 28 avril 2021 ;

c) Phase de formulation de conclusions et de recommandations, y compris une réponse de l'administration du PNUE sur celles-ci (voir l'annexe VIII).

12. Ce travail a été mené entre octobre 2020 et juillet 2021.

III. Constatations

13. Les principales constatations présentées ci-après proviennent des contributions des parties prenantes, qui ont été recoupées avec les données recueillies dans le cadre d'examens sur dossier. Ces constatations sont fondées sur l'examen détaillé du fonctionnement CRTC qui fait l'objet de l'annexe VII et sont le résultat des appréciations du consultant concernant les réponses aux questions d'évaluation définies lors de la phase de lancement de l'examen.

A. Pertinence

14. **Conformité avec les décisions de la COP :** Le CRTC a répondu aux directives énoncées dans les décisions de la COP en incorporant dans ses opérations et ses rapports annuels les éléments suivants :

a) Son deuxième programme de travail, pour 2019-2022, fait concorder les services du CRTC définis par les pays avec les mesures et activités spécifiées dans le cadre technologique et s'inscrit dans le champ d'action et le mandat du CRTC. Le programme organise les activités du CRTC et celles qui sont exécutées en collaboration avec le CET selon les cinq domaines thématiques du cadre technologique. Les services du CRTC se répartissent entre ces différents domaines ;

b) Le CRTC et le CET incluent désormais dans leurs rapports annuels communs des informations sur la façon dont ils ont intégré les directives émanant du cadre technologique dans leurs programmes et plans de travail respectifs, ainsi que sur l'avancement de leurs travaux, les difficultés rencontrées dans la mise en œuvre du cadre technologique et les enseignements qui en ont été tirés ;

c) Comme la COP l'a demandé à sa vingt et unième session¹⁰, de nouvelles activités liées à la recherche, à la mise au point et à la démonstration de technologies ainsi qu'aux capacités et technologies propres aux pays ont été mises en œuvre. Les capacités endogènes, par exemple, sont à présent intégrées dans le processus de décision relatif à l'assistance technique et font l'objet d'activités permettant de les développer (voir l'annexe VII, chap. A.1).

15. **Recommandations du premier examen indépendant :** Le deuxième programme de travail tient compte des recommandations formulées lors du premier examen indépendant du CRTC. Il a par exemple été donné suite à la recommandation visant à renforcer sa transparence et à étoffer ses rapports. Le CRTC s'y est employé en affinant son système de suivi et d'évaluation de façon à améliorer son efficacité et à mettre en évidence les effets à long terme, et en communiquant des informations en ligne sur les contributions financières et les accords avec des donateurs, les décisions pertinentes de la COP, les examens indépendants du CRTC et les recommandations correspondantes, ainsi que des informations sur le cadre de suivi et d'évaluation qui guide ses opérations (voir l'annexe VII, chap. A.2).

¹⁰ Décision 1/CP.21, par. 66.

16. **Besoins des Parties** : Les services fournis par le CRTC découlent d'une approche déterminée par la demande qui répond aux besoins des pays en développement. Les parties prenantes en ont dans l'ensemble une opinion positive, la majorité d'entre elles, notamment les END, considérant les activités et interventions du CRTC comme pertinentes ou très pertinentes. La réponse du CRTC aux besoins des pays en développement s'appuie sur la présence d'END dans la plupart des pays en développement : sur les 154 membres de Parties non visées à l'annexe I, on en compte seulement 21 qui sont dépourvues d'END. Depuis l'entrée en vigueur de l'Accord de Paris, le CRTC collabore plus étroitement avec les pays sur leurs contributions déterminées au niveau national. Pour être recevables, les demandes d'assistance technique doivent montrer explicitement en quoi elles cadrent avec les plans nationaux et les CDN, comme indiqué dans le formulaire correspondant (voir l'annexe VII, chap. A.3).

17. **Collaboration avec le CET** : Depuis 2017, la collaboration entre le CRTC et le CET s'est intensifiée dans le cadre de nouvelles activités conjointes prévues dans leurs programmes de travail respectifs, comme dans le cas de l'« enquête sur les END du Mécanisme technologique de la Convention-cadre » (ci-après l'« enquête sur les END ») réalisée en 2020 auprès des entités nationales désignées pour soutenir le suivi et l'évaluation. Par le truchement de leurs secrétariats, le CRTC et le CET ont assuré une communication cohérente et un partage accru d'informations relatives à leurs travaux. Pour appuyer l'exécution des activités à mener de concert, le plan opérationnel annuel du CRTC pour 2021 suggère de créer une équipe spéciale conjointe composée des présidents, des vice-présidents et d'autres membres du CET et du Conseil consultatif du CRTC¹¹. Cependant, les deux organismes pourraient collaborer davantage en prenant en compte tout l'éventail de leurs résultats respectifs. Même si certains documents techniques du CET s'appuient sur les activités du CRTC (sur les capacités endogènes, par exemple¹²), les notes d'orientation du CET pourraient s'inspirer plus systématiquement des études de cas et des enseignements tirés des opérations du CRTC sur le terrain. En outre, 35 % seulement des END ayant répondu à l'enquête susmentionnée ont déclaré utiliser les produits du CET pour établir les demandes d'assistance technique, principalement parce que les parties prenantes ne sont guère informées des activités du CET (voir l'annexe VII, chap. A.4).

18. **Collaboration avec les entités fonctionnelles du Mécanisme financier** : La COP a encouragé le CRTC et le CET à favoriser la coopération avec les entités fonctionnelles du Mécanisme financier¹³ en vue de tirer parti au maximum des liens entre les capacités de financement à grande échelle du FEM et du FVC et les moyens dont dispose le CRTC pour que les pays en développement soient mieux à même d'accéder à de tels financements. Depuis le premier examen indépendant, le CRTC a pris des dispositions visant à accroître la collaboration avec les entités fonctionnelles. Le CET et les présidents du Conseil consultatif du CRTC ont par exemple participé à la quatrième réunion annuelle du FVC avec les organes constitués et à la mise en route par le FEM du programme Challenge relatif à l'innovation pour l'adaptation à la vingt-cinquième session de la COP. Alors qu'aucune mesure visant à renforcer la coopération ne figurait dans le premier programme de travail, le deuxième en prévoit trois que devrait prendre le CRTC (voir l'annexe VII, chap. A.5). Les liens avec le Mécanisme financier continuent de se développer, comme en témoignent l'intensification de son engagement dans le Programme d'appui à la planification et aux activités préparatoires du FVC et le programme pilote du FEM sur des modes de financement novateur des technologies d'adaptation aux changements climatiques dans les villes de taille moyenne, ainsi que la nouvelle collaboration avec le Fonds pour l'adaptation dans le cadre du projet d'accélérateur d'innovation climatique CRTC-PNUD d'un montant de 10 millions de dollars. Comme l'a indiqué le FVC¹⁴, le CRTC est désormais le principal fournisseur de l'appui à la planification proposé par le FVC en matière de technologie. Le nombre escompté de demandes d'assistance technique acceptées par le FEM ou le FVC a été dépassé en 2020 (voir la figure 32). Cela étant, les enquêtes et les entretiens ont montré que l'interaction et la

¹¹ Document TEC/2020/21/12 du CET, chap. IV, disponible sur <https://unfccc.int/ttclear/tec/meetings.html>.

¹² Document TEC/2021/22/10 du CET.

¹³ Décisions 13/CP.21, 14/CP.22, 15/CP.22, 15/CP.23 et 14/CP.24.

¹⁴ Voir https://www.ctc-n.org/sites/www.ctc-n.org/files/Agenda%20item%2012.3_CTCN%20AB17_Green%20Climate%20Fund.pdf.

collaboration entre les END du CRTC et les centres de liaison opérationnels du FEM restaient insuffisantes, de même que, dans une moindre mesure, entre les END du CRTC et les AND du FVC¹⁵ (voir l'annexe VII, chap. A.6). En outre, le nombre escompté de manifestations à organiser conjointement avec le FVC, le FEM et les banques multilatérales de développement n'a pas été atteint (voir la figure 32).

19. **Valeur ajoutée du CRTC** : Toutes les personnes interrogées reconnaissent la valeur ajoutée qu'il apporte en aidant les pays en développement à accéder aux fonds internationaux et à mettre en place des environnements favorables. Les Parties non visées à l'annexe I ont manifesté leur intérêt pour des services de type CRTC en complément d'autres mécanismes et initiatives, et le CRTC a prouvé l'efficacité de son modèle en fournissant un soutien initial à des projets potentiels¹⁶. Les principaux atouts du CRTC, notamment par comparaison avec les centres régionaux pilotes pour le transfert et le financement des technologies climatiques soutenus par le FEM et hébergés par les banques multilatérales de développement dans le cadre du PSP (ci-après « centres régionaux du PSP »), sont les suivants (voir l'annexe VII, chap. A.7) :

- a) Son action obéit à la demande ;
- b) Il peut aider les pays à solliciter des fonds auprès de programmes internationaux de financement et de mécanismes financiers plus importants ;
- c) Il a été établi sous l'égide de la Convention-cadre sur les changements climatiques, ce qui le rend légitime et digne de confiance ;
- d) Il dispose d'un large éventail de ressources prêtes à être utilisées, d'un réseau de compétences internationales et de fournisseurs de technologies et d'une expertise sectorielle plus solide que celle des banques multilatérales de développement, tout en couvrant toute une série de domaines technologiques ;
- e) Il est plus agile et réactif et moins bureaucratique que d'autres entités des Nations Unies ;
- f) Il peut fournir un appui à un stade précoce et soutenir des projets sans doute trop modestes pour les banques multilatérales de développement et d'autres acteurs qui se concentrent sur de plus vastes initiatives.

20. **Effet incitatif** : En dépit de ces atouts reconnus, les observations des parties prenantes donnent à penser que des projets d'assistance technique auraient également pu être mis en œuvre au moyen d'autres sources de financement (voir l'annexe VII, chap. A.7), mais que l'intervention du CRTC a néanmoins aidé les projets à démarrer et à se développer plus rapidement.

21. **Liens avec d'autres programmes connexes d'appui à l'action climatique** : Une analyse comparative avec les quatre centres régionaux du PSP montre que, malgré des chevauchements possibles dans leur champ d'action géographique et les services fournis, il n'y a pas de concurrence entre le CRTC et les centres car la demande a été suffisante pour qu'ils puissent coexister (voir l'annexe VII, chap. A.7). Cependant, la coopération entre le CRTC et les centres régionaux du PSP s'est limitée à l'échange d'informations sur des projets et à des discussions sur la programmation d'activités conjointes et le renforcement des capacités¹⁷. Les banques multilatérales de développement dont relève le fonctionnement des centres régionaux PSP ont exprimé leur volonté d'assurer la poursuite des efforts au-delà de la mise en œuvre du PSP et leur souhait de renforcer les liens avec le CRTC. En novembre 2020, un dialogue a été organisé entre le FEM, les centres régionaux du PSP et le CRTC pour déterminer les enseignements à retenir et les possibilités de collaboration future. Les parties prenantes ont estimé qu'il fallait étoffer les liens entre le CRTC et les centres régionaux du PSP, échanger régulièrement des informations sur leurs réserves de projets respectives et recourir au CRTC pour les activités de renforcement des capacités de ces centres¹⁸. De plus, les centres régionaux du PSP ont des compétences évidentes en matière de financement du

¹⁵ Voir https://www.ctc-n.org/sites/www.ctc-n.org/files/ab201914_4.1_ctcn_to_gef_cop25_report.pdf.

¹⁶ FCCC/SBI/2019/7, para. 88.

¹⁷ FCCC/SB/2020/4, para. 110.

¹⁸ FCCC/SB/2020/4, para. 110.

développement et d'investissement, et disposent souvent de voies de communication directes avec les ministères des finances ou de l'énergie. Leur action pourrait compléter le savoir-faire général du CRTC s'agissant de concevoir des propositions de projets finançables et de les mettre en œuvre suivant ses propres filières, qui sont souvent les entités nationales désignées au sein des ministères de l'environnement¹⁹.

22. **Intégration des ODD dans le programme de travail du CRTC** : L'évaluation de l'effet transformateur du CRTC²⁰ montre que son assistance technique porte sur une série d'ODD (9 sur 17). L'objectif 13 sur l'action climatique fait partie intégrante des interventions bénéficiant de son appui.

23. **Pandémie de COVID-19** : La pandémie a pesé sur la capacité du CRTC à fournir ses services en 2020-2021, bien qu'à des degrés divers suivant les régions en fonction de la fracture numérique, ce qui a posé des problèmes pour le développement et la mise en œuvre de l'assistance technique. Des activités de renforcement très poussé des capacités ont dû être suspendues. Une réunion de l'équipe spéciale du Conseil consultatif du CRTC a été organisée en juin 2020 pour adapter les plans de travail du CRTC et leurs délais d'exécution aux circonstances découlant de la pandémie et assurer la poursuite des activités. Les partenaires d'exécution ont été encouragés à prendre des mesures pour assurer la continuité de la mise en œuvre de l'assistance technique, notamment en communiquant en ligne avec les parties prenantes et en adaptant les plans de travail et les délais prévus, ce qui a finalement permis de mener à bien tous les projets. Des efforts ont également été déployés pour prendre en compte dans les services du CRTC les nouveaux besoins des pays dus à la pandémie de COVID-19, en prévoyant des webinaires spécifiques (sur la gestion écologiquement rationnelle des déchets COVID-19, par exemple), ou pour intégrer des mesures de riposte au COVID-19 dans les activités d'assistance technique et de renforcement des capacités en cours, notamment le partage des connaissances entre les organisations de la société civile et les entrepreneurs sociaux. La pandémie a toutefois eu un impact sur la collecte de fonds, en raison de problèmes rencontrés par de nombreux pays donateurs au niveau national et du report de 2020 à 2021 d'une table ronde de levée de fonds au Danemark.

B. Efficacité

24. **Fonctionnement** : À l'exception de quelques éléments dont il est question ci-dessous, l'efficacité du CRTC, comme celle des centres régionaux du PSP, est jugée satisfaisante. Le bon fonctionnement du CRTC est reconnu à l'échelle mondiale et le CRTC est considéré comme une des options pour la mise en place du réseau de Santiago pour la prévention, la réduction et la prise en compte des pertes et préjudices liés aux effets néfastes des changements climatiques²¹. Cependant, il semble que les objectifs opérationnels du CTCN aient été déterminés principalement sur la base des résultats antérieurs et des contraintes budgétaires plutôt que dans la perspective des possibilités d'amélioration.

25. **Assistance technique** : Si les END et les bénéficiaires ont globalement des avis partagés à l'égard de l'assistance technique du CRTC, d'autres indicateurs de résultats témoignent de l'efficacité de ces activités. Dans la plupart des cas, le CRTC a atteint ou dépassé le nombre escompté de projets, programmes, stratégies et études techniques en matière d'assistance technique. Par exemple :

a) Depuis 2017, le nombre de plans d'intervention en cours de conception dans ce domaine a fluctué entre 30 et 50 par an, ce qui se situe dans la fourchette visée pour la production annuelle, sauf pour 2017. La production annuelle escomptée est néanmoins passée de 50-70 en 2017 à 30-40 en 2019 (voir le tableau 7) ;

¹⁹ FCCC/SBI/2015/16, par. 85.

²⁰ Olsen K. H. 2020. *Climate Technology Centre and Network Transformation Impact Assessment*. Copenhague : Partenariat PNUE-DTU.

²¹ Établi par la décision 2/CMA.2, par. 43, dans le cadre du Mécanisme international de Varsovie relatif aux pertes et préjudices liés aux incidences des changements climatiques.

b) La couverture géographique des demandes d'assistance technique correspond au mandat du CRTC qui consiste à donner la priorité aux pays les moins avancés et à d'autres pays vulnérables. Plus d'une centaine de Parties non visées à l'annexe I, dont toutes celles ayant une entité nationale désignée, à l'exception de 32, avaient reçu une assistance technique du CRTC au 31 décembre 2020 ;

c) Comme dans le cas du premier examen indépendant, il a été constaté lors du deuxième examen que les demandes d'assistance technique des END et des bénéficiaires ont pour la plupart été bien traitées et que des ressources appropriées en termes de capacités et de compétences ont été mobilisées. La mise en œuvre est facilitée par une communication et une coordination efficaces entre les parties prenantes (voir l'annexe VII, chapitre B.4).

26. Le succès de l'assistance technique tient aux facteurs suivants :

a) L'utilisation de critères de sélection clairs et bien appliqués, qui sont essentiels pour guider et optimiser le processus d'approbation des demandes ;

b) Un solide appui des END²² à l'élaboration des demandes d'assistance technique, ainsi que d'utiles échanges entre les END et le CRTC, bien que certains pays soient encore dépourvus des moyens et des ressources nécessaires pour préparer des projets et définir les besoins, en dépit de l'« incubateur » de demandes mis en place par le CRTC. Vu que 100 % des demandes reçues par le CRTC ont été jugées recevables, il semble qu'elles soient d'excellente qualité, ce qui signifie que les END et le CRTC apportent un soutien efficace au processus de demande ;

c) Le recours à des compétences appropriées tout au long du cycle de vie du projet et une concertation efficace avec les parties prenantes locales pendant les phases d'identification et de planification (voir l'annexe VII, chap. B.2)²³.

27. Les principales difficultés recensées concernant l'assistance technique tiennent au caractère relativement modeste des budgets au regard des réalités du terrain et des attentes des pays, et aux facteurs d'inefficacité dans la mobilisation et le suivi des partenaires d'exécution (retards et manque de transparence dans le processus de sélection, par exemple).

28. Les demandes d'assistance technique sont le plus souvent déséquilibrées en faveur des objectifs d'atténuation – ce qui avait déjà été observé lors du premier examen indépendant et par les centres régionaux du PSP, qui ont rencontré des difficultés pour traiter la question de l'adaptation (voir la figure 6)²⁴.

29. **Communication et promotion** : Les activités de communication et de promotion du CRTC s'avèrent efficaces grâce à une approche structurée et au personnel qui s'y consacre. Plusieurs moyens de communication ont permis de fournir des informations claires et utiles aux parties prenantes ainsi qu'à un plus large public. L'action du CRTC sur les réseaux sociaux a dépassé les objectifs définis. En outre, les parties prenantes estiment que le site Web du CRTC s'est nettement amélioré. Elles ont également noté que la communication narrative du CRTC, notamment sur son impact, a bénéficié des améliorations apportées au système de suivi et d'évaluation et au système de gestion des connaissances. S'agissant des services du CRTC, il a cependant été noté que la définition du transfert de technologies et la portée des travaux du CRTC dans ce domaine n'étaient pas suffisamment claires. Le soutien du CRTC s'est concentré sur les questions de savoir-faire, de méthodes et de pratiques (autrement dit le logiciel), alors que certaines parties prenantes tablaient sur la prise en compte des aspects liés à l'équipement (matériel).

30. **Système de gestion des connaissances** : Depuis le premier examen indépendant, le système a été adapté de façon à accorder plus d'attention à l'infrastructure d'appui et à l'optimisation des moteurs de recherche, y compris l'examen et la suppression des pages Web défectueuses dont les ressources renvoyaient à des bases de données externes. Le contenu du site Web du CRTC est désormais plus stable, plus adapté et plus accessible. Le nombre

²² Lee W., Bak I., Kim H-J. *et al.* 2020. What Leads to the Success of Climate Technology Centre and Network Pro Bono Technical Assistance? *Journal of Climate Change Research*. 11(5-1): p. 353 à 366. Disponible sur <https://www.dbpia.co.kr/Journal/articleDetail?nodeId=NODE10490630>.

²³ Voir ci-dessus la note 22.

²⁴ FCCC/SBI/2019/7, par. 112.

d'outils et de supports d'information en ligne a été ramené de 17 100 en 2018 à 16 650 en 2019 afin de produire des résultats plus clairs et pertinents²⁵. Le nombre de partenaires contribuant au système de gestion des connaissances est resté constant et dans la fourchette escomptée, tandis que le nombre annuel de consultations du site Web du système a été nettement supérieur à la cible entre 2017 et 2019, malgré une baisse en 2018.

31. **Renforcement des capacités** : Les activités de renforcement des capacités et de mise en réseau ont été perçues de manière très positive par les parties prenantes, la quasi-totalité des objectifs ayant été atteints en 2020 en matière de création de capacités et d'environnements favorables (voir la figure 15)²⁶. Les indicateurs mesurés entre 2017 et 2019 concernant la transmission du savoir entre pairs, le développement des capacités, la sensibilisation, la mise en réseau et la mobilisation des parties prenantes ont été plus inégaux mais sont restés positifs²⁷. Le CRTC a en partie donné suite à la recommandation du premier examen indépendant consistant à continuer de former régulièrement les entités nationales désignées et à faciliter l'élaboration des demandes dans le cadre des forums régionaux et du Programme d'incubateur, et ce par les moyens suivants :

a) Organiser des forums régionaux. Le nombre de forums a plus que doublé en 2020 par rapport à 2019, alors qu'il n'avait pas augmenté entre 2017 et 2019 (voir l'annexe VII, chap. B.5) ;

b) Établir des contacts avec d'autres centres de liaison et membres du Réseau, même si l'interaction et la collaboration entre les END du CRTC et les autres centres de liaison restent insuffisantes (voir le paragraphe 18 ci-dessus). Les relations avec les membres du Réseau sont le plus souvent considérées de façon positive, 60 % des membres interrogés déclarant que l'END de leur pays a joué un rôle efficace de coordonnateur entre eux et les bénéficiaires finals, et 15 % contestant cette affirmation.

32. **Suivi et évaluation** : En coordination avec le CET et avec le soutien (à titre gracieux) de l'Agence des États-Unis pour le développement international, le CRTC a revu son système de suivi et d'évaluation afin d'améliorer la cohérence de ses rapports, de mieux démontrer l'efficacité de ses activités et d'en mesurer les effets²⁸. Les résultats de 2020 ont été communiqués à la dix-septième réunion du Conseil consultatif du CRTC. Le nouveau système de suivi et d'évaluation a été lancé en 2020 et bon nombre d'indicateurs et de mesures n'ont donc pas encore pu être comparés aux indicateurs et mesures antérieurs. Au moment de la rédaction du présent rapport, certains indicateurs d'impact (volume prévu des émissions de GES, nombre escompté de bénéficiaires et financement susceptible d'être obtenu) étaient disponibles pour 24 demandes d'assistance technique satisfaites en 2019 et 2020 pour lesquelles un rapport final a été reçu. Les données qui nécessitaient des contrôles d'assurance qualité complémentaires n'ont pas été prises en compte. Le degré de réalisation des objectifs du premier programme de travail n'a pas été analysé en bonne et due forme en raison de l'absence d'un rapport d'achèvement. Le premier examen indépendant ne couvrirait qu'une partie de la période visée par ce programme et la seule analyse annuelle porte sur les progrès accomplis par rapport aux objectifs tels qu'ils ressortent des rapports communs ou plans opérationnels annuels (voir l'annexe VII, chap. B.6).

C. Efficience

33. **Conseil consultatif du CRTC** : Les réunions du Conseil consultatif sont devenues globalement plus efficaces et rationnelles ces dernières années grâce à une interaction régulière des membres entre les réunions, à l'établissement de nouveaux canaux de communication

²⁵ Document AB/2020/15/6 du CRCT, disponible sur <https://www.ctc-n.org/advisory-board/meetings>.

²⁶ Le seul objectif non atteint concernait le nombre de descriptions de technologies, de publications, de plans nationaux et d'autres sources d'information disponibles sur la plateforme de connaissances du CRTC.

²⁷ Si le nombre de manifestations thématiques, de séances de formation au titre de programmes thématiques et de manifestations nationales organisées ou soutenues par le CRTC a nettement augmenté entre 2017 et 2019, le nombre de personnes détachées, de nouveaux pays inscrits dans le Programme d'incubateur, de forums régionaux organisés, d'END formées et de webinaires organisés a diminué ou est resté constant durant la même période.

²⁸ Document AB/2020/15/2.2 du CRTC.

(sous-groupes et équipes spéciales, notamment) et à l'accent mis sur des questions plus techniques que politiques. La transparence et le principe de responsabilité applicables aux activités et aux ressources financières du CRTC ont été renforcés, mais une image plus complète des défis opérationnels et organisationnels auxquels il est confronté pourrait être présentée aux membres du Conseil consultatif. Cela permettrait au Conseil consultatif de se mettre en contact avec le secrétariat du CTC pour améliorer les services fournis et de soutenir ses activités de collecte de fonds en tant qu'ambassadeur de l'organisation.

34. **Mobilisation des ressources** : Le mémorandum d'accord entre la COP et le PNUE spécifie que le CTC, en collaboration avec le PNUE et en concertation avec le Conseil consultatif du CRTC, doit aider à mobiliser des fonds pour financer les dépenses liées au CRTC. La COP, à sa vingt-quatrième session, a accueilli avec satisfaction les efforts déployés par le CRTC pour mobiliser des ressources supplémentaires lui permettant de remplir ses fonctions²⁹ et, à sa vingt-cinquième session, lui a demandé d'intensifier ces efforts et de diversifier davantage ses sources de financement³⁰. En dépit de sa stratégie de mobilisation des ressources pour 2018, le CRTC n'a pas complètement atteint ses objectifs initiaux et le financement reste un problème. Globalement, l'objectif d'augmentation du budget n'a pas été réalisé. Le deuxième programme de travail visait par exemple à obtenir un financement total supérieur à 14 millions de dollars en 2020, mais 12,5 millions de dollars environ seulement ont été collectés (voir la figure 19). Les sources de financement du CRTC ne se sont pas autant diversifiées que prévu et les contributions des donateurs restent insuffisantes (voir l'annexe VII, chap. C.4). Il semble que l'« approche à la carte » envisagée dans la stratégie de mobilisation des ressources n'ait pas pu être pleinement mise en œuvre. Un aperçu de l'évolution du financement du CRTC au cours des quatre dernières années est présenté ci-après :

a) Concernant le budget opérationnel de base du CRTC (provenant de donateurs bilatéraux et du fonds d'affectation spéciale multidonateurs des organismes hôtes), l'objectif de 10 millions de dollars par an n'a pas été atteint au cours des trois dernières années. Par rapport à l'objectif annuel de 20 donateurs fixé dans la stratégie de mobilisation des ressources (abaissé à 10 dans le plan opérationnel annuel de 2020 ; voir la figure 32), 7 donateurs se sont engagés en 2018, 5 en 2019 et 8 en 2020. Les contributions du FVC ont sensiblement augmenté. Les Gouvernements de l'Autriche, du Japon et du Royaume-Uni de Grande-Bretagne et d'Irlande du Nord ont confirmé leur intention de financer les activités du CRTC en 2021³¹ et le Gouvernement danois a signé en 2020 un accord de financement avec le CRTC, dont il a déjà versé la première tranche ;

b) L'appui apporté en nature ou à titre gracieux s'est accru, les Parties mettant du personnel à la disposition du secrétariat du CTC ou accordant directement une assistance technique. L'objectif de 2 millions de dollars par an retenu dans la stratégie de mobilisation des ressources de 2018 ne s'est pas concrétisé. Il a été révisé dans le plan opérationnel annuel de 2020 (0,5-1 million de dollars) et a alors été atteint. En 2020, le secrétariat du CTC a précisé son approche à l'égard des contributions *pro bono* et en nature et les enseignements à retenir³² ;

c) La collaboration avec les banques multilatérales de développement s'est améliorée, mais n'a pas débouché sur un financement supplémentaire pour le CRTC en 2017-2020. Des pourparlers ont été engagés en 2020 avec la Banque européenne pour la reconstruction et le développement, la Banque islamique de développement et des organismes des Nations Unies sur les possibilités de cofinancement, la programmation conjointe et la mise en œuvre de l'assistance technique³³ ;

d) De nouvelles sources essentielles de financement sont apparues récemment, le Fonds pour l'adaptation et le Partenariat pour les CDN ayant convenu de verser des contributions³⁴.

²⁹ Décision 13/CP.24, par. 11.

³⁰ Décision 14/CP.25, par. 26 a).

³¹ Document AB/2021/17/15.1 du CRTC.

³² FCCC/SB/2020/4.

³³ Document AB/2021/17/2.2 du CRTC, par. 22.

³⁴ Document AB/2021/17/15.1 du CRTC.

35. **Transparence et responsabilité** : Des efforts ont été déployés pour signaler les contributions des donateurs – le CRTC affiche désormais sur son site les accords de financement et les accords avec des bailleurs de fonds³⁵. Il reste que certains donateurs se sont dits préoccupés par le manque de clarté et de transparence quant à l'utilisation et à l'impact de leurs contributions. La mise en place du système révisé de suivi et d'évaluation devrait permettre d'améliorer la présentation de rapports et l'évaluation de l'impact du CRTC et de renforcer le principe de responsabilité.

36. **Budgétisation** : Le financement du CRTC se caractérise encore par un manque de régularité et de prévisibilité et reste en principe réservé à des activités ou des zones géographiques particulières (voir la figure 20). Les fonds non affectés sont alloués à des tâches précises en fonction des demandes des donateurs. Ces conditions d'intervention et le manque de souplesse qui en découle rendent la gestion du financement du CRTC plus complexe et entravent sa capacité de répondre aux demandes des pays. En outre, l'affectation des ressources du Mécanisme financier au CRTC ne s'inscrit pas dans un dispositif spécifique et le CTC ne génère pas ses propres ressources financières car il fournit ses services gratuitement (il n'y a pas de droits d'adhésion au Réseau, de commissions liées à l'organisation de manifestations ou de frais d'assistance technique, par exemple). Le CRTC dépend principalement des contributions annoncées par quelques donateurs, qui sont sensibles aux changements de stratégie ou au contexte macroéconomique (la pandémie de COVID-19 a par exemple entraîné une diminution des promesses de dons de certains bailleurs de fonds). L'autonomie et la viabilité financières du CRTC peuvent donc être considérées comme relativement limitées.

37. **Affectation des ressources** : Une comparaison entre le budget et les dépenses fait apparaître une sous-exécution des activités du CRTC de 25 % en moyenne au cours des quatre dernières années, avec une amélioration en 2020. Cela est principalement dû à l'absence d'un solide système de planification et de suivi de la mise en œuvre et au fait que certaines prestations prévues en 2015 dans le cadre d'accords de collaboration au titre de projets avec des partenaires du groupement n'ont pas été fournies, qu'il s'agisse des activités attendues ou des montants engagés. Cependant, 2020 a été la première année où le CRTC a quasiment exécuté l'intégralité du budget prévu dans son plan opérationnel annuel (voir le tableau 13)³⁶, compte tenu du volume important des activités d'assistance technique. Les demandes en attente datant de 2019 et l'approbation du financement de 17 propositions d'assistance technique du FVC ont compensé les manques constatés dans d'autres types de services en raison des incertitudes découlant de la pandémie de COVID-19. L'augmentation des dépenses en 2020 tient aussi à d'autres facteurs, notamment une planification et une exécution plus ciblées conformément au plan opérationnel annuel, une meilleure coordination entre le Conseil consultatif du CRTC et les donateurs, et un soutien accru de la part de ses organisations hôtes dans les domaines de la coordination financière et des achats³⁷.

38. **Structure administrative** : Le CRTC n'est pas une personne morale mais, en tant qu'instrument de mise en œuvre du Mécanisme technologique, il rend compte à la COP par l'intermédiaire des organes subsidiaires³⁸. Il est administré par deux organismes hôtes, à savoir le PNUE (hôte principal du CTC) et l'ONUDI (autre organisme hôte du CTC). Sa structure administrative est donc relativement complexe pour une entité de cette taille. La coordination entre les trois organismes pourrait être améliorée, ce qui réduirait sans doute le volume du travail d'administration correspondant. L'ONUDI a relevé des difficultés à maintenir des relations suivies avec le secrétariat du CTC. Le fait que les ressources du CRTC sont réparties entre les comptes du PNUE et de l'ONUDI crée des problèmes administratifs et de communication. Certaines décisions stratégiques et opérationnelles du CRTC – comme celles relatives au deuxième programme de travail – semblent ne pas avoir dûment tenu compte de la situation des organismes hôtes. Cependant, des représentants des organismes

³⁵ <https://www.ctc-n.org/about-ctcn/donors>.

³⁶ Le CTCN a affiché un résultat de 108 % par rapport à son plan opérationnel annuel pour 2020 avec un taux d'exécution financière de 93 % en raison de dépenses négatives de 1,47 million de dollars environ en 2020, résultant de la clôture d'engagements non utilisés des années précédentes ; voir le document AB/2021/17/15.1 du CRTC.

³⁷ FCCC/SB/2020/4, para. 130.

³⁸ Décision 1/CP.16, par. 126.

hôtes ont participé et apporté leur contribution à la réunion de planification du deuxième programme de travail, qui s'est tenue les 16 et 17 août 2018. La version révisée du descriptif de projet des organismes hôtes est censée fournir un cadre solide et clairement défini pour l'organisation de la direction du CRTC (répartition des rôles et des attributions, et responsabilité effective) et rationaliser les procédures administratives. Les organismes hôtes ont joué un rôle fondamental en aidant le CRTC à accomplir son mandat, et il y a des possibilités de tirer pleinement parti de leurs capacités et de leurs réseaux.

39. **Secrétariat du CTC** : Les ressources humaines du secrétariat du CTC sont limitées (moins de 10 équivalents plein temps) mais ont néanmoins permis de nombreuses réalisations avec l'aide de consultants recrutés pour des contrats de longue durée ou de façon ponctuelle. Même si ces ressources humaines combinées ont augmenté entre 2017 et 2019, elles ont diminué en 2020 en raison des incertitudes pesant sur le recrutement du fait de la pandémie. Or si le CRTC doit aider en amont un nombre croissant de pays à établir leurs demandes tout en assurant un contrôle et un suivi en aval de ses activités, il faudra prévoir plus de temps et de ressources techniques.

40. **Organisation régionale** : Les nouvelles modalités d'organisation du CRTC au niveau régional sont jugées fort utiles pour améliorer l'efficacité de ses opérations, faciliter la communication et la coordination avec les END, renforcer l'appui aux demandes d'assistance technique et dynamiser les relations avec les acteurs privés et institutionnels. Une amélioration a été engagée dans ce sens en 2020, lorsque trois membres du personnel ont commencé à travailler dans des centres régionaux au Kenya (au PNUE), au Mexique (à l'ONUDI) et en Thaïlande (au PNUE)³⁹.

41. **Partenaires du groupement** : Ils se sont avérés essentiels dans l'établissement et la mise en route du CRTC, mais leur rôle a diminué au cours des deux dernières années, d'où la déception de ceux qui tenaient à continuer de participer aux activités du CRTC, souvent dans une plus large mesure que les membres du Réseau. Le PNUE a déclaré qu'il clarifierait avec les partenaires du groupement la question de l'évolution de leur rôle en termes de modalités de travail et de contrats et trouverait des moyens de continuer à les associer et à tirer parti de leurs compétences.

42. **Membres du Réseau** : La taille du Réseau a considérablement augmenté au cours des dernières années (de 400 membres en 2017 à 605 en décembre 2020, conformément aux objectifs)⁴⁰ et le nombre de membres issus de pays en développement s'est accru. Cette tendance peut s'expliquer par des conditions d'adhésion souples et limitées (les principales raisons de l'engagement et du non-engagement des membres du Réseau sont indiquées à l'annexe VII, chap. C.12). Le rôle des membres du Réseau en tant que fournisseurs de l'assistance technique se renforce, puisqu'ils ont donné suite à 75 % des nouvelles demandes en 2020, contre 60 % en 2017⁴¹. Cela est dû notamment à la mise en place d'un processus d'appel d'offres en deux étapes pour les propositions d'assistance technique et au retour d'information régulier assuré par le CRTC à l'intention des membres du Réseau au sujet de ces propositions. La relation entre le CTC et les membres du Réseau se fonde en grande partie sur une structure en étoile. Le CRTC s'efforce de mieux tirer parti des avantages de son vaste réseau, mais les synergies entre les membres restent minimes. Un plan d'action a été élaboré à la suite d'une enquête lancée en 2019 qui a permis de répondre au souhait de membres du Réseau de participer à un plus grand nombre d'activités de réseautage et de partage des connaissances, de manifestations nationales et de campagnes de mise en relation⁴². En 2020, le CTC a lancé de nouvelles activités dans le cadre desquelles les membres peuvent offrir leurs compétences et bénéficier d'une collaboration. Ces activités comprennent des webinaires ciblés, des ateliers consacrés aux technologies, l'élaboration de dossiers techniques régionaux, des travaux de recherche menés à titre gracieux et les « laboratoires d'innovation climatique » pour les jeunes.

³⁹ FCCC/SB/2020/4, par. 118.

⁴⁰ FCCC/SB/2020/4, par. 119.

⁴¹ FCCC/SB/2020/4, par. 101.

⁴² FCCC/SB/2020/4, par. 100.

43. **Entités nationales désignées** : Une distinction est faite entre les END des Parties visées à l'annexe I et celles des Parties non visées à l'annexe I dans l'analyse du degré de participation au CRTC :

a) END des Parties non visées à l'annexe I (les bénéficiaires des services du CRTC) : À la suite des recommandations du premier examen indépendant, le CRTC a amélioré la formation régulière des END tout en facilitant l'élaboration des demandes de services et en renforçant son partenariat avec d'autres coordonnateurs nationaux. La moitié des END de Parties non visées à l'annexe I ont ainsi déclaré avoir reçu un soutien du CRTC pour exercer leur rôle. Même si la moitié d'entre elles ont fait état d'un manque de ressources (financières, matérielles et humaines, par ordre d'importance) permettant de s'en acquitter, la fourniture de ressources aux END ne relève pas du mandat du CRTC. La principale raison de cette insuffisance de moyens est que l'engagement des END dépend de la volonté du gouvernement national d'investir dans des activités qui permettraient au pays de bénéficier des services du CRTC (par exemple, en présentant des demandes d'assistance technique et en déposant la demande d'assistance). En outre, la connaissance du rôle des END par les parties prenantes semble se limiter aux représentants des dispositifs institutionnels liés à la Convention-cadre, sauf si elles ont été associées aux services d'assistance technique. Dans l'ensemble, il reste nécessaire de faire mieux connaître les END aux pouvoirs publics et au secteur privé (voir l'annexe VII, chap. C.13) ;

b) END des Parties visées à l'annexe I : Conformément à une recommandation du premier examen indépendant, le CRTC a réédité les directives approuvées par le Conseil consultatif du CRTC à sa troisième réunion sur les rôles et les responsabilités des END des Parties visées à l'annexe I⁴³, et l'approche systématique à suivre à l'égard de leur participation est présentée dans la version mise à jour du protocole relatif aux rapports internes des donateurs. Ces END ont désormais une meilleure idée de leur rôle et de leur mandat qu'il y a quatre ans, ce qui n'est cependant pas le cas pour les autres parties prenantes du CRTC.

44. **Rapport coût-efficacité** : Le CRTC peut être considéré comme efficace par rapport à son coût étant donné que les services qu'il fournit sont déterminés par la demande des pays plutôt que normalisés et conçus à petite échelle. Il a réussi à développer son mode d'organisation et ses compétences sans accroître globalement les ressources humaines (alors que le centre régional de la Banque africaine de développement a eu besoin d'un plus large éventail de fonctions et de plus de ressources que prévu)⁴⁴. Le CRTC recourt à un processus d'appel d'offres qui permet de sélectionner les prestataires les plus avantageux sur le plan économique pour la mise en œuvre de l'assistance technique, tout en renforçant la concurrence entre un grand nombre de membres du Réseau. Une diminution des ressources internes aurait eu pour effet de limiter la portée des projets et des résultats attendus ou d'annuler certaines activités prévues, ce qui aurait nui à la quantité et à la qualité des résultats et des produits livrés. Il y aurait moyen d'améliorer la situation en mobilisant davantage les membres du Réseau (notamment les fournisseurs de technologie), les END des pays développés, les membres du Conseil consultatif du CRTC et les organismes hôtes. Pour que le rapport coût-efficacité des activités du CRTC soit encore plus favorable, il est primordial de continuer à constituer des communautés d'intérêt au niveau régional, comme le montre le succès du centre régional du PSP relevant de la Banque interaméricaine de développement⁴⁵, qui a établi des partenariats avec des institutions régionales de premier plan dans des domaines spécifiques, mobilisé des investissements privés et publics et soutenu les synergies entre les initiatives régionales⁴⁶.

⁴³ Document AB/2014/3/3 du CRTC, disponible sur https://www.ctc-n.org/sites/www.ctc-n.org/files/annex_1_national_designated_entities_-_roles_and_responsibilities.pdf.

⁴⁴ FCCC/SBI/2019/7.

⁴⁵ Les activités de renforcement des capacités du centre sont axées sur le rôle des END ainsi que sur les méthodes et les bonnes pratiques visant à intégrer des technologies écologiquement rationnelles dans la planification de la lutte contre les changements climatiques ; le centre était en voie d'atteindre ses objectifs, voire de les dépasser.

⁴⁶ FCCC/SBI/2019/7.

D. Impact et durabilité

45. **Mesure de l'impact** : Comme il a été constaté lors du premier examen indépendant, il semble très difficile d'évaluer quantitativement l'impact du CRTC compte tenu de la nature de ses projets. Ses interventions déclenchent des changements systémiques qui ne sont pas visibles d'emblée. Il a été impossible de comparer les résultats du CRTC avec ceux des centres régionaux du PSP car ceux-ci n'ont pu être évalués lors du second examen⁴⁷.

46. Les premiers efforts entrepris pour procéder à des évaluations rétrospectives dans les limites du budget du CRTC sont les suivants :

a) Le CET et le CRTC ont eu conjointement des contacts avec les END pour recueillir des observations sur les effets à long terme de leurs activités. Il est prévu qu'une telle initiative ait lieu tous les deux ans ;

b) Le CRTC a obtenu des données sur l'impact de certains programmes d'assistance technique et de renforcement des capacités en chargeant le Partenariat PNUE-DTU de réaliser une évaluation de leur effet transformateur suivant la méthode de l'ICAT ;

c) Le budget 2021 du CRTC comprend le financement d'une vaste analyse de certaines activités d'assistance technique à l'aide des données d'une enquête rétrospective, qui a été reportée à 2022 en raison de la pandémie.

47. Même si le nouveau système de suivi et d'évaluation⁴⁸ devrait en principe aider à saisir les effets des activités du CRTC, les indicateurs clefs de performance liés aux impacts semblent être anticipés plutôt qu'observés ou mesurés (par exemple, le financement qu'il est prévu d'obtenir et la réduction escomptée des émissions). L'évaluation de l'effet transformateur permet de constater que, même si les résultats attendus ont fait l'objet d'estimations chiffrées, il n'y a toujours pas de calendrier clairement défini ou d'étapes intermédiaires pour produire ces résultats.

48. **Innovation** : Dans le cadre de son deuxième programme de travail et de ses plans opérationnels annuels les plus récents, le CRTC a mis davantage l'accent sur la recherche, le développement et la démonstration et a lancé de nouvelles approches et initiatives telles que les laboratoires d'innovation climatique pour les jeunes (voir l'annexe VII, chap. D.1). Même si, lors de l'examen, le CRTC était en passe d'adopter formellement une approche normalisée visant à renforcer les systèmes nationaux d'innovation dans les pays en développement, cette approche n'était pas assez mûre pour être évaluée (voir l'annexe VII, chap. D.2). Les résultats affichés en matière d'innovation en 2020 montrent que chacun des objectifs fixés a été dépassé (voir la figure 23).

49. **Innovation – changements en profondeur** : Les projets d'assistance technique du CRTC sont à petite échelle et représentent généralement les étapes initiales de projets de plus grande envergure et un appui à la prise de décisions plutôt que la voie vers la mise en œuvre effective de telle ou telle technologie. Le CRTC est principalement perçu comme un dispositif qui crée des environnements favorables aux projets de transfert de technologie, essentiellement par le biais d'activités de renforcement des capacités et de travaux préparatoires. Ainsi qu'il ressort de l'évaluation de l'effet transformateur, l'assistance technique proprement dite ne suscite ni ne facilite des processus d'adoption rapide ou de transposition à une plus grande échelle, mais jette les bases de ces processus en concentrant les processus de recherche, de mise au point et de déploiement ou d'innovation nécessaires sur une technologie particulière, qui peut ensuite être adoptée et développée. Le CRTC a principalement joué un rôle d'entremetteur pour l'externalisation des technologies, son action étant plus modeste au stade de la recherche-développement, de la démonstration et du financement des technologies et à celui de leur diffusion⁴⁹. Globalement, seulement 34 %

⁴⁷ FCCC/SBI/2019/7.

⁴⁸ Des directives détaillées ont été élaborées à l'intention des partenaires d'exécution et des END. Elles fournissent des méthodes standardisées pour l'établissement des rapports sur les indicateurs quantitatifs et qualitatifs essentiels (voir le document FCCC/SB/2020/4).

⁴⁹ Lee W. J. et Mwebaza R. 2020. The Role of the Climate Technology Centre and Network as a Climate Technology and Innovation Matchmaker for Developing Countries. *Sustainability*. 12(19): p. 7956. Disponible sur <https://www.mdpi.com/2071-1050/12/19/7956>.

des END, 33 % des bénéficiaires et 46 % des partenaires du groupement, des partenaires de la diffusion du savoir et des membres du Réseau qui ont participé à l'enquête (voir le paragraphe 11 b) iii) ci-dessus) ont estimé que les activités du CRTC améliorent le déploiement et la diffusion des technologies innovantes et des connaissances et compétences correspondantes (voir l'annexe VII, chap. D.3).

50. Mise en œuvre – évaluations des besoins technologiques et plans d'action technologiques : Bien que le CRTC ait intégré certains de ces éléments dans la conception de ses supports d'assistance technique, de renforcement des capacités et de formation, cet effort de cohérence ne semble pas aller assez loin. Une évaluation pour 2020 du projet d'évaluation des besoins technologiques (phase II) du PNUE-FEM⁵⁰ a constaté que le CRTC n'est pas suffisamment engagé dans le projet, ses efforts se limitant à la participation et à l'organisation conjointe d'ateliers régionaux, que l'impact de cet engagement au niveau national est insuffisant et qu'une attitude plus volontariste serait très utile. Cela étant, l'objectif de 2020 concernant le nombre de pays bénéficiant du soutien du CRTC pour la mise en œuvre des évaluations des besoins technologiques et des plans d'action technologiques a été atteint (28 pays ; l'objectif était de 15 à 20). De même, une note d'orientation du CET⁵¹ considère les conseils du CRTC (formation et aide à l'élaboration de projets pilotes et à la rédaction de notes de cadrage pour les propositions de financement) comme un facteur essentiel dans la mise en application des résultats des évaluations des besoins technologiques (voir l'annexe VII, chap. D.4).

51. Mise en œuvre – développement résilient aux changements climatiques et réduction des émissions de GES dans les pays en développement : Dans l'ensemble, 62 % des END ayant participé à l'enquête estiment que l'assistance technique appuie ou influence les activités susceptibles de réduire ou d'éviter des émissions de GES. Cependant, le potentiel réel de réduction des émissions n'a pas été évalué, faute de données appropriées lors du deuxième examen indépendant. Dans le cadre du nouveau système de suivi et d'évaluation, les indicateurs⁵² inclus dans les rapports finals sur l'assistance technique seront essentiels pour estimer l'impact des activités du CRTC sur les émissions de GES, mais une telle estimation reste tributaire des ressources et du temps dont disposent les agents d'exécution. Les END ont jugé très probable que les services d'assistance technique du CRTC aient des effets durables sur l'atténuation des changements climatiques et l'adaptation à ces changements (voir la figure 34), principalement en contribuant à rendre les moyens d'existence plus résilients sur le plan climatique, l'économie moins vulnérable et les écosystèmes résistants aux perturbations induites par le climat (voir la figure 35)⁵³.

52. Environnement favorable : Au total, 81 % des END qui ont participé à l'enquête ont indiqué que leur pays avait mis en œuvre les recommandations issues de l'assistance technique du CRTC (concernant par exemple la présentation de propositions de financement et la mise en œuvre de politiques). Comme le montre la figure 27, l'assistance technique contribue à plusieurs facteurs qui concourent à des environnements favorables, notamment l'information et la sensibilisation, un cadre directif et réglementaire propice à la mise au point et au transfert de technologies, et des capacités institutionnelles permettant d'adopter, de diffuser ou de transposer à une plus grande échelle des technologies climatiques. L'assistance technique a par exemple permis de surmonter des difficultés rencontrées dans l'action gouvernementale, d'élaborer des projets de politique générale (concernant par exemple l'agroforesterie et l'énergie géothermique), d'aider les agriculteurs locaux ou des stations de radio locales à diffuser des données agrométéorologiques et de faciliter l'intégration de

⁵⁰ PNUE. 2020. *Terminal Evaluation of the UNEP/GEF Project « Technology Needs Assessment Phase II »*. Nairobi : PNUE. Disponible sur https://wedocs.unep.org/bitstream/handle/20.500.11822/32207/4948_2020_te_unep_gef_fsp_spcc_technology_needs_assessment_phase_II.pdf?sequence=1&isAllowed=y.

⁵¹ CET. 2020. *Enhancing implementation of the results of technology needs assessments*. Bonn : CET. Disponible sur <https://unfccc.int/ttclear/tec/documents.html>.

⁵² Par exemple, le volume prévu des réductions d'émissions ou des émissions évitées grâce à l'assistance technique, en tonnes d'équivalent CO₂ par an ou pendant le cycle de vie du projet.

⁵³ La contribution des services d'assistance technique à l'amélioration de la résilience sur les plans de la santé et du bien-être, de la sécurité alimentaire et de l'approvisionnement en eau, et à la mise en place d'infrastructures et d'un cadre bâti résistant aux dommages climatiques semble limitée.

technologies climatiques dans la mise en œuvre des CDN. Dans l'ensemble, le CRTC contribue davantage que les centres régionaux du PSP à l'instauration d'un environnement favorable. Le centre régional de la Banque africaine de développement, en particulier, a pris plus de temps pour soutenir l'adoption de stratégies politiques et réglementaires⁵⁴.

53. Renforcement des capacités et sensibilisation : L'évaluation de l'effet transformateur confirme que l'assistance technique contribue généralement à sensibiliser les acteurs gouvernementaux. Cela étant, ainsi qu'il a également été constaté, peu d'interventions tentent directement de susciter une modification du comportement et d'adapter les normes sociales associées à un changement durable porteur de transformation. Le renforcement des capacités a permis d'améliorer l'aptitude d'acteurs essentiels, à savoir des représentants des pouvoirs publics ainsi que d'organisations du secteur privé, d'organisations non gouvernementales et d'organisations de la société civile jouant un rôle novateur, à engager une action de transformation.

54. Collaboration et participation des parties prenantes : Les résultats relatifs à la collaboration et à la participation des parties prenantes pour 2020 (voir la figure 29) montrent que tous les objectifs ont à cet égard été atteints voire dépassés. Le bilan positif affiché dans ce domaine est attesté par plusieurs exemples⁵⁵. Ce dernier point a également été confirmé par les END et les bénéficiaires qui ont répondu à l'enquête (voir le paragraphe 11 b) iii) ci-dessus). Le CRTC a apporté, à leur avis, une solide contribution aux interactions, collaborations et partenariats avec des organisations locales (publiques ou privées) ainsi qu'avec des organisations, institutions et initiatives internationales. Il a néanmoins été estimé que la contribution du CRTC à la collaboration et à la participation des parties prenantes n'est pas aussi importante que son impact sur la mise en place d'environnements favorables et que la participation se limite le plus souvent aux pouvoirs publics plutôt qu'à des acteurs tels que les bénéficiaires, les parties prenantes du secteur privé et les entrepreneurs.

55. Participation du secteur privé : Comme le souligne un document du CRTC sur les partenariats public-privé⁵⁶, la participation du secteur privé à ses projets reste faible, bien que près de la moitié des membres du Réseau (49,5 %) en soient issus (principalement des petites et moyennes entreprises). Selon une analyse du CRTC, 9 % seulement des membres du Réseau appartenant au secteur privé ont contribué à des projets d'assistance technique, axés pour la plupart sur les dernières étapes du cycle technologique. Pour stimuler la participation du secteur privé, le CRTC mène des activités novatrices expressément destinées aux membres « dormants » du Réseau afin de soutenir les petites et moyennes entreprises locales (dispensaires technologiques et laboratoires d'innovation climatique pour les jeunes, par exemple) et accorde une assistance technique en ligne. Les technologies numériques peuvent améliorer la transparence des informations, accroître l'automatisation et permettre une interaction directe entre les membres du Réseau du secteur privé. Les entreprises privées sont disposées à soutenir des projets précis du CRTC, mais il reste des obstacles à surmonter pour faire cadrer l'échelle des projets dans lesquels les entreprises sont prêtes à investir (qui sont plutôt de grande envergure) avec les montants relativement modestes des interventions du CRTC (moins de 250 000 dollars). En outre, le processus de diligence raisonnable à appliquer pour conclure un accord de partenariat de financement avec une entité privée est souvent jugé trop fastidieux.

56. Appui – appui technique : Environ la moitié des personnes ayant répondu à l'enquête (voir le paragraphe 11 b) iii) ci-dessus) ont estimé que les activités du CRTC permettaient aux parties prenantes d'accéder à des approches, des outils et des moyens permettant d'évaluer les technologies prêtes à être transférées, soutenaient l'élaboration de

⁵⁴ Concernant l'appui et les conseils fournis aux pays au sujet des politiques et programmes nationaux, la Banque africaine de développement affiche un faible score pour les politiques et stratégies nationales ou régionales en matière d'énergie propre et il est peu probable qu'elle atteigne son objectif (voir le document FCCC/SBI/2019/7).

⁵⁵ Lee W., Bak I., Kim H-J. *et al.* 2020. What Leads to the Success of Climate Technology Centre and Network Pro Bono Technical Assistance? *Journal of Climate Change Research*. 11(5-1): p. 353 à 366. Disponible sur <https://www.dbpia.co.kr/Journal/articleDetail?nodeId=NODE10490630>.

⁵⁶ Lee WJ., Juskenaitė I. et Mwebaza R. 2021. Public-Private Partnerships for Climate Technology Transfer and Innovation: Lessons from the Climate Technology Centre and Network. *Sustainability*. 13(6): p. 3185. Disponible sur <https://www.mdpi.com/2071-1050/13/6/3185>.

plans nationaux ou sectoriels en matière de technologies climatiques et rendaient les parties prenantes mieux à même de soutenir, planifier et suivre la mise au point et le transfert de technologies climatiques (voir la figure 30). En outre, plus de 80 % des réponses à l'enquête effectuée auprès des END indiquent que les parties prenantes nationales concernées ont appliqué les recommandations du CRTC visant à améliorer la mise au point et le transfert de technologies dans leur pays (voir la figure 31)⁵⁷.

57. **Appui – mobilisation de fonds** : Même si une assistance technique avoisinant 800 000 dollars a permis de lever plus de 200 millions de dollars en 2020⁵⁸, et en dépit d'exemples de mobilisation efficace⁵⁹, les parties prenantes ont estimé que la contribution du CRTC à l'optimisation des conditions du marché et à la mobilisation de fonds supplémentaires était relativement limitée. La moitié seulement des END qui ont répondu à l'enquête considèrent que l'assistance technique permet d'obtenir des financements ou des investissements supplémentaires. De même, 41 % seulement des END ayant répondu (voir le paragraphe 11 b) iii) ci-dessus) ont estimé que les activités du CRTC facilitent l'accès à des sources de financement supplémentaires, notamment des ressources extérieures reçues après une intervention de sa part (voir la figure 33).

58. **Retombées positives** : La mise en œuvre de projets d'assistance technique suscite des retombées positives, comme le soulignent l'enquête auprès des END (voir la figure 36) et l'étude de cas pilote sur le changement porteur de transformation de l'ICAT⁶⁰. Elles montrent toutes deux que l'impact de l'assistance technique accordée par le CRTC est positif ou très positif dans les domaines suivants :

- a) Incidences sociales, sous la forme d'effets positifs appréciables sur le bien-être social des populations et la promotion de l'égalité des sexes et des droits de l'homme ;
- b) Effets économiques, par la création d'emplois ;
- c) Incidences sur le marché, par exemple en contribuant à la sécurité énergétique ;
- d) Autres effets environnementaux, par un renforcement des dispositifs de protection et de sauvegarde de l'environnement.

59. **Égalité des sexes** : L'égalité femmes-hommes est désormais pleinement intégrée au mandat du CRTC dans le cadre de la politique et du plan d'action sur le genre 2019-2022⁶¹. Les entretiens menés dans le cadre du deuxième examen et l'enquête auprès des END ont confirmé que le CRTC avait bien progressé dans la mise en œuvre du plan dans sa structure décisionnelle, ses opérations et son système de suivi et d'évaluation. L'application des mesures correspondantes a également bien avancé. L'évaluation de l'effet transformateur a permis de constater que les interventions d'assistance technique sont généralement adaptées aux deux sexes, car leur conception tient compte de la dimension de genre et n'accentue pas les inégalités préexistantes. Cela étant, comme les obstacles à l'égalité des sexes ne sont pas directement réduits ou éliminés pendant ou après la mise en œuvre des interventions, celles-ci peuvent être renforcées en vue de tenir compte des questions de genre.

⁵⁷ Les données relatives à l'objectif consistant à faciliter 50 à 75 plans technologiques nationaux et sectoriels d'ici à la fin de 2018, tel qu'énoncé dans le premier programme de travail, n'étaient pas disponibles pour l'examen. Il n'a pas non plus été possible d'accéder à des informations sur la réalisation de l'objectif du deuxième programme de travail visant à fournir chaque année à 450-500 parties prenantes des capacités renforcées pour mettre au point, transférer et déployer des technologies climatiques.

⁵⁸ Document AB/2021/17/14.1 du CRTC, tableau 8.

⁵⁹ PNUE. 2020. *Regional Technology Brief: Asia Pacific*. Copenhague, PNUE. Disponible sur <https://unepdtu.org/publications/regional-technology-brief-asia-pacific>.

⁶⁰ Tabrizi S. 2019. *ICAT Transformational Change Pilot Case Study: Development of a Tonga Energy Efficiency Master Plan*. ICAT, Partenariat PNUE-DTU, Verra, Institut des ressources mondiales et CRTC. Disponible sur <https://climateactiontransparency.org/wp-content/uploads/2020/12/Transformational-Change-Case-Study-Tonga.pdf>.

⁶¹ CRTC. 2019. *Politique et plan d'action sur le genre du CRTC 2019-2022*. Copenhague, CRTC. Disponible sur <https://www.ctc-n.org/resources/ctcn-gender-policy-and-action-plan-2019-2022>.

60. **Durabilité** : Ainsi qu'il ressort de l'enquête (voir le paragraphe 11 b) iii) ci-dessus), les parties prenantes sont tout à fait convaincues de la pérennité des effets produits par l'action du CRTC, 81 % des END, 77 % des bénéficiaires et 71 % des partenaires du groupement, des partenaires de la diffusion du savoir et des membres du Réseau étant d'avis que les services du CRTC ont un impact durable. En outre, 81 % des END, 78 % des bénéficiaires et 67 % des partenaires du groupement, des partenaires de la diffusion du savoir et des membres du Réseau considèrent que les types de services offerts par le CRTC sont reproductibles à d'autres niveaux ou dans d'autres secteurs.

IV. Conclusions

61. Du point de vue du consultant, le bon fonctionnement du CRTC est attesté principalement par les succès suivants :

a) La **valeur ajoutée** de ce mécanisme axé sur la demande, qui jouit d'une légitimité institutionnelle en vertu de la Convention-cadre, est reconnue par les parties prenantes, tout comme sa solide compétence sectorielle, son agilité et sa réactivité, ainsi que sa capacité à combler un vide en soutenant de petits projets, sans entrer en concurrence avec des centres ou des initiatives similaires ;

b) **Ses programmes de travail n'ont cessé de s'améliorer**, la plupart des recommandations du premier examen indépendant et des directives de la COP ayant été prises en considération dans le deuxième programme de travail ;

c) **La crise du COVID-19 a été bien gérée**, vu que chaque projet a finalement été mis en œuvre, que la continuité des services du CRTC a été assurée et que des mesures particulières liées à la pandémie ont été intégrées aux activités en cours d'assistance technique, de renforcement des capacités et de partage des connaissances ;

d) **Les services de communication et de vulgarisation se sont améliorés** et le contenu du système de gestion des connaissances, par exemple, est désormais considéré comme plus stable, plus adapté et plus accessible ;

e) **La collaboration stratégique entre le CRTC et les entités ci-après s'est améliorée** :

i) Le Conseil consultatif du CRTC, grâce à une interaction plus régulière des membres entre les réunions et à la mise en place de nouvelles voies de communication (sous-groupes et équipes spéciales, notamment), l'accent étant mis sur des questions techniques plutôt que politiques ;

ii) Les entités fonctionnelles du Mécanisme financier, dans le cadre de manifestations et d'ateliers visant à accroître la collaboration entre les END, les AND et les centres de liaison du FEM, d'une assistance technique financée par le Programme d'appui à la planification et aux activités préparatoires du FVC et de la formation de concepteurs de projets à la préparation des demandes de financement liées aux technologies climatiques à adresser au FVC ;

iii) Le CET, dans le cadre de nouvelles activités conjointes inscrites dans les programmes de travail respectifs et d'un partage accru des informations ;

f) **La nouvelle organisation régionale du secrétariat du CTC** est jugée plus efficace par les parties prenantes car elle améliore la coordination avec les END, renforce l'appui aux demandes d'assistance technique et dynamise les relations avec les acteurs nationaux et régionaux concernés ;

g) Le CRTC est considéré comme **efficace par rapport à son coût compte tenu du type de services qu'il fournit** (services à petite échelle, conçus sur mesure en fonction des demandes des pays) ; avec de moindres ressources internes, il aurait fallu limiter la portée des projets et les résultats attendus ou annuler certaines activités prévues, ce qui aurait nui à la quantité et à la qualité des résultats et des produits livrés.

h) La **contribution à un changement en profondeur** est sans doute durable grâce aux informations fournies, à la sensibilisation, à l'amélioration des politiques et des cadres réglementaires, et aux mesures propres à développer les capacités institutionnelles ;

i) **Des effets positifs sont attendus sur les plans de l'adaptation et de l'atténuation**, même s'il est impossible de mesurer l'impact réel en raison de la nature des services et des moyens limités d'évaluation rétrospective ;

j) Les parties prenantes ont observé ou prévoient des **retombées positives d'ordre socioéconomique**, notamment en termes de bien-être économique, d'égalité des sexes et de respect des droits de l'homme.

62. Du point de vue du consultant, les principales difficultés rencontrées dans la mise en œuvre du CRTC sont les suivantes :

a) Le CRTC dispose de **ressources financières limitées**, compte tenu de l'étendue des services que la COP l'a chargé d'assurer ;

b) La **mobilisation des ressources reste problématique**, ainsi qu'il a été constaté lors du premier examen indépendant, puisque la diversification attendue des ressources financières ne permet pas d'atteindre pleinement les objectifs initiaux malgré une augmentation récente des financements du FVC et du Fonds pour l'adaptation ;

c) **Les ressources sont allouées de façon pragmatique, mais des contraintes pèsent sur le budget** en raison d'un manque de prévisibilité et de la forte proportion de fonds assortis de conditions et préaffectés ;

d) Même si le CRTC tire largement parti du fait qu'il est hébergé par le PNUE en collaboration avec l'ONUDI, notamment en termes de compétences et de réseaux complémentaires, **l'organisation de sa direction pâtit de problèmes d'administration et de communication** ;

e) Bien que le mandat du CRTC ne soit pas directement en cause, les END ont déclaré **manquer de ressources pour coopérer avec le CRTC**, en dépit de l'appui qu'il apporte au renforcement des capacités ;

f) La **collaboration est limitée** entre les entités nationales désignées, les membres du Réseau, les centres de liaison opérationnels du FEM et les autorités nationales désignées au titre du FVC (celles-ci dans une moindre mesure grâce à l'augmentation du nombre des projets de préparation du CRTC), en raison de points de vue stratégiques différents et de contacts personnels limités (en partie à cause du taux de renouvellement du personnel), et malgré les activités en réseau organisées par le CRTC ;

g) Le CTC **ne tire pas pleinement parti des avantages de son vaste Réseau** et il n'y a guère de synergies entre les membres du Réseau.

V. Recommandations

63. Le consultant a formulé sept recommandations, énoncées aux paragraphes 64 à 70 ci-dessous, afin d'améliorer le fonctionnement du CRTC.

A. Financement

1. Recommandation 1 : Encourager le CTC, agissant en collaboration avec le PNUE et en concertation avec le Conseil consultatif du CRTC, à renforcer la mobilisation des ressources afin de financer les coûts liés au CRTC

64. La COP a décidé que les dépenses afférentes au CTC et à la mobilisation des services du Réseau devraient être financées au moyen de diverses sources, notamment par le Mécanisme financier, par des sources bilatérales, multilatérales et privées, par des dons philanthropiques, ainsi que par des contributions financières et en nature provenant de

l'organisation hôte et des participants au Réseau⁶². Au cours des quatre dernières années, bon nombre de Parties ont fourni des ressources financières qui ont permis au CRTC de devenir pleinement opérationnel et d'exercer ses fonctions et ses activités conformément au mandat prévu par la COP. Concernant l'appui accordé au titre du Mécanisme financier, le CRTC a récemment obtenu une augmentation du financement apporté par le FVC et le Fonds pour l'adaptation. Si des ressources supplémentaires étaient allouées, le CRTC pourrait renforcer l'appui technique fourni aux pays en développement parties. Le CTC, en collaboration avec le PNUE et en concertation avec le Conseil consultatif du CRTC, est invité à diversifier davantage ses sources de financement, par exemple en procédant à un examen de sa stratégie de mobilisation des ressources afin de la rendre plus stratégique et réaliste, en tenant compte de l'expérience et des enseignements tirés de la mise en œuvre de sa précédente stratégie et de celle d'autres organisations. Il pourrait en outre envisager ce qui suit : étoffer les attributions d'un directeur adjoint spécialisé et les moyens mis à sa disposition, ou nommer des consultants principaux qui seraient chargés de renforcer et de structurer les relations avec les entités fonctionnelles du Mécanisme financier ; développer les possibilités qu'a le CRTC de coopérer davantage avec les centres de liaison des pays bénéficiaires du FEM (par l'intermédiaire de ses responsables régionaux ou des entités nationales désignées) pour définir, mettre au point et faire approuver ses projets en vue de participer à leur exécution; et améliorer la commercialisation des services du CRTC (en faisant connaître les résultats obtenus, en montrant les effets produits, etc.).

2. Recommandation 2 : Encourager le CRTC à affecter spécialement des ressources à la poursuite de ses efforts visant à réaliser régulièrement des évaluations rétrospectives de l'impact de l'assistance technique

65. Le CTCN gagnerait à démontrer plus précisément les effets à long terme liés aux changements climatiques et les retombées positives d'ordre socioéconomique (y compris en ce qui concerne les questions de genre) de son assistance technique. En dépit des efforts en cours (par exemple l'analyse approfondie de certaines activités d'assistance technique prévue dans le budget 2021, qui a été reportée à 2022 en raison de la pandémie de COVID-19), les estimations des effets réels (par opposition aux effets escomptés, qui sont actuellement mesurés) ainsi que les moyens d'évaluation rétrospective restent limités. La présente recommandation pourrait être appliquée à un échantillon de projets trois à quatre ans après leur exécution, soit par des tiers indépendants (au moyen d'un poste budgétaire spécial), soit par du personnel interne se consacrant à cette tâche.

B. Gouvernance et organisation

1. Recommandation 3 : Encourager le CRTC à rationaliser davantage la communication entre les organismes hôtes et le secrétariat du CTC

66. Il a été constaté que la structure administrative du CRTC pourrait tirer profit d'un renforcement des courants d'information entre les organismes qui hébergent le CTC (PNUE et ONUDI) et le secrétariat du CTC à Copenhague. Il est donc recommandé de continuer de rationaliser la communication entre les organismes hôtes et le secrétariat du CTC. Le PNUE, qui accueille le CRTC et son fonds d'affectation spéciale, devrait notamment chercher des moyens de s'assurer que toutes les ressources du CRTC sont orientées vers son fonds d'affectation spéciale.

2. Recommandation 4 : Engager le CRTC à collaborer davantage avec les membres du Réseau en développant parmi eux les effets de synergie

67. Le CRTC devrait davantage collaborer avec les membres du Réseau et améliorer les effets de synergie parmi eux pour tirer pleinement parti de leurs utiles compétences sectorielles et géographiques, ce qui permettrait de fournir des services plus efficaces. Il est recommandé que le CRTC, sous la direction de son Conseil consultatif, élabore et mette en œuvre un plan de mobilisation du Réseau.

⁶² Décision 2/CP.17, par. 139.

3. Recommandation 5 : Encourager le CRTC à redoubler d'efforts pour favoriser une collaboration active entre les END et contribuer davantage à renforcer leurs capacités pour fournir une meilleure assistance technique

68. Le CRTC est invité à intensifier la collaboration entre les END des Parties visées à l'annexe I et celles des Parties non visées à l'annexe I, ainsi qu'à développer les capacités des END des Parties non visées à l'annexe I, notamment en les faisant mieux connaître aux organismes gouvernementaux et au secteur privé et en suivant la mise en œuvre de l'assistance technique et l'application des recommandations connexes. L'une des principales difficultés recensées par les END concerne l'élaboration des demandes d'assistance technique. Il est donc conseillé au CRTC d'engager de nouvelles activités de renforcement des capacités, notamment dans le cadre du Programme d'incubateur.

C. Positionnement

1. Recommandation 6 : Encourager le CRTC à recueillir des informations utiles à l'élaboration de son troisième programme de travail, y compris une évaluation des besoins éventuels des bénéficiaires qui pourraient être satisfaits avec le budget disponible

69. Il est recommandé au CRTC de recueillir des informations pertinentes pour élaborer son troisième programme de travail. Il faudrait procéder à une analyse préliminaire à l'aide des éléments suivants : évaluation de la demande de services du CRTC, sur la base de l'expérience acquise par celui-ci et d'une enquête auprès des END ; rapport sur la réalisation des objectifs du deuxième programme de travail ; plan financier présentant les ressources financières que le CRTC devra mobiliser au cours du prochain exercice (y compris les contributions annoncées par les donateurs). Une telle analyse devrait permettre au CRTC de déterminer la part des demandes auxquelles il pourrait éventuellement donner suite compte tenu des prévisions budgétaires actuelles.

2. Recommandation 7 : Encourager le CRTC à renforcer sa position en tant qu'intermédiaire dans le domaine des technologies climatiques

70. Il est recommandé de renforcer la participation des fournisseurs de technologies au sein du CRTC et de développer les partenariats avec les centres, réseaux et institutions existants. Le CRTC est invité à consacrer des ressources à la mise en œuvre d'initiatives qui améliorent l'interaction directe entre les membres du Réseau du secteur privé.

Annexe I*

Grilles d'évaluation

[Anglais seulement]

| |
|--|
| 1. Relevance |
| <p>Question: Are the strategy and the resources of the CTCN relevant and appropriate regarding priorities given by the COP and the local needs for support?</p> |
| <p>Subquestions:</p> <ul style="list-style-type: none"> a) To what extent is the second work plan of the CTCN aligned with COP decisions or has to be revised? b) To what extent were the interventions undertaken under the CTCN relevant to the country's context and needs for support (at the time of the evaluation and at the time the project was being developed), and within the boundaries of the CTCN mandate? c) To what extent have the recommendations from the different evaluations conducted over the last four years, in particular the first independent CTCN review, been considered? To what extent were the CTCN design, organization and services adapted to meet these recommendations? How could the current structure be further enhanced? d) To what extent are the services offered by the CTCN complementary with policy guidance given by the TEC (within second PoW + annual operational plans), with the UNFCCC Financial Mechanism (GEF and GCF), and with other related climate support programs (provided by bilateral cooperation agencies, development banks, universities and research centers, NGOs or private sector technology providers)? Have potential synergies (whether on-going or completed) been optimized? How can synergies be improved in the future? e) To what extent did the CTCN respond adequately to changes in the macroeconomic, technological and political context that occurred over the course of its implementation? How can it be adapted in the future to changes which have taken place since the first independent review? |
| <p>Indicators and Data sources:</p> <ul style="list-style-type: none"> • Identification of the main changes in the work plan of the CTCN (comparison between the first and second PoW, the annual operational plans and CTCN theory of change) and the main decisions of the COP regarding the CTCN • Listing of recommendations from the different evaluations and identification of answers provided by the CTCN (analysis of the adequate section in the joint annual reports of the TEC and the CTCN as well as Advisory Board presentations on "CTCN Actions in response to review recommendations") • Flow charts mapping procedures and processes (for technical assistance, network...) • Mapping of linked international climate change policies and comparative matrix for objectives and activities (analysis of other funding documents) • Identification of Non-Annex I countries' needs for support regarding CC mitigation and adaptation (through preliminary literature review, incl. fourth synthesis report on technology needs, and focus on 5 countries), and comparison with the CTCN services • Global analysis of macroeconomic technological and political context changes (through preliminary literature review and focus on 5 countries) • Perception of partners (Advisory Board, Consortium Partners, etc.) on the program's relevance in addressing these issues (through interviews and survey) |

* Owing to time constraints, the annexes have not been formally edited.

- Perception of NDEs and beneficiaries on the program's relevance in addressing their needs (through interviews and survey)

2. Effectiveness

Question: Have the objectives of the CTCN been achieved in terms of technical assistance/knowledge management, peer learning & capacity building/outreach, networking and stakeholder engagement?

Subquestions:

- To what extent have the CTCN raised awareness of its services in developing countries (e.g. by involving stakeholders from developing countries in technical assistance, capacity-building and networking activities of the CTCN)? (cf. Recommendation 9) To what extent have the CTC communication (10% increase per year of people reached through social media channels and 30 mentions of CTCN in media per year)⁶³ and organization (including the incubator programme and Regional forums) supported a coordinated identification and submission of relevant requests for technical assistance from developing countries? To what extent have the CTC regularly trained developing country NDEs and facilitated the elaboration of requests (e.g. by capitalizing on successful TA projects to facilitate their replication in other countries, better anticipating the planning and organization of events and webinars)? (cf. Recommendation 8)
- To what extent have fast technical assistance (small-scale TA, costing less than USD15k) and Multi-country technical assistance been prioritized and implemented? To what extent have the CTCN responded to a higher number of requests in a timely manner (30 TA requests per year),⁶⁴ and reduced the amount of time spent by the CTCN refining requests? To what extent were TA linked to developing countries' priorities identified in their NDCs?
- To what extent was the knowledge management system (KMS) supplemented with complementary material (e.g. best practices and lessons learnt from countries climate technology R&D policies and activities) (200 technology descriptions, publications, national plans... made available on the KMS per year (incl. 30-40 new knowledge resources related to RD&D and new and innovative technologies and 80-100 deliverables produced during TA) and 10% increase per year of KMS site visits) and linked to additional external databases and other resources? To what extent did the CTCN direct outreach to academic and innovation centres as well as non-governmental organizations and municipal governments (4-5 climate technology RD&D-related events organized per year, mobilizing 150-200 participants per year)?⁶⁵
- To what extent were regular and relevant webinars (600 participants per year) and training sessions (6 per year and 500 participants per year) organized on time and were perceived as useful by the participants (>90% satisfaction and >90% participants have reported effects)?⁶⁶ To what extent were enough capacity building workshops and remote technical advice and helpdesk organized by the CTCN? To what extent were they relevant, on time, and perceived as useful by the participants?
- To what extent were enough and relevant international events or forum, public/private workshops and regional networking meetings organized by the CTCN (15 events per year and 2 000 participants over the 5 years)?⁶⁷ To what extent were they relevant, on time, and perceived as useful by the participants?
- To what extent have the CTCN enhanced the reporting and evaluation of its impact (e.g. by finalizing and applying a monitoring and evaluation framework, by performing ex-post evaluation of technical assistances)? To what extent have reinforced the communication on its impacts towards the Advisory Board (e.g.

⁶³ Quantitative targets come from the 2019 CTCN Performance Measurement Framework.

⁶⁴ Ibid.

⁶⁵ Ibid.

⁶⁶ Ibid.

⁶⁷ Ibid.

- through quarterly dashboards on progress on strategic KPIs) and donors (e.g. during an annual donor forum)? (cf. Recommendation 10)
- g) What are the main differences between the first and the second PoW? Are these changes and unplanned activities consistent, in keeping with the CTCN mandate (given by the COP)? Is there any lack to completely fulfil the CTCN mandate? Were lessons learnt from the implementation of the first PoW identified and taken into account?
- h) What are the major factors influencing the achievement/non-achievement of targeted output to date (difficulties and success factors)? What can be enhanced to make the organization of events and trainings, the provision of technical assistance and the dissemination of information have greater impact?

Indicators and Data sources:

- Analysis of monitoring and evaluation related documents (M&E framework, case study from UNEP, annual reports and other reporting documents)
- Review of output indicators values and reliability
- Quantitative analysis of services provided by the CTCN: TA requests/answers/projects, trainings, events, KMS visits... (via data base analysis)
- Thorough analysis of available documents related to a sample of sub-projects (e.g. participants & calendar of events, content of TA, participants and program of trainings, evaluation forms...)
- Perception of partners (advisory board, Consortium Partners, etc.) on the program's deployment and achievement in terms of outputs (through interviews and survey)
- Perception of NDEs and beneficiaries regarding the deployment and the usefulness of different services (TA, KMS, training...) (through interviews, surveys and feedbacks)
- SWOT analysis of the CTCN services (technical assistance, network...)

3. Efficiency

Question:

Have the objectives of the CTCN been achieved efficiently by the implementation of the CTCN and the deployment of its services?

Subquestions:

- a) To what extent have the CTCN governance (AB, consortium organization...) ensured its responsiveness (application of COP decisions, communication with UNFCCC and TEC...)? and been enhanced (revision of the AB mandate in order to clarify its role, change of nomination process for AB members in order to ensure the selection of members with enough technical capabilities)? (cf. Recommendation 2)
- b) To what extent were enough financial resources mobilized? To what extent have the CTCN identified additional financial resources (e.g. regular mapping, new position dedicated to fund-raising and engaging in dialogue with donors (10% increase in funding mobilized for CTCN activities and 20 donors engaged per year)? (cf. Recommendation 4) To what extent have the GEF and the GCF facilitated the provision of sustained funding for CTCN activities and enhanced operational linkages between the organizations, in line with their respective mandates (e.g. by institutionalizing a relationship between NDEs and NDAs) (6 events and trainings co-organized per year, 10 to 12 CTCN TA supported per year, and 3 to 5 technology proposals developed per year through CTCN TA supported)? (cf. Recommendation 5) To what extent was the transparency of its funding arrangements strengthened (e.g. documented on the website)? (cf. Recommendation 10) To what extent were in-kind and pro-bono support mobilized (USD 0.5M to 1M per year)? To what extent were financial resources allocated appropriately and efficiently across the activities (as planned within the budget scenarios)?⁶⁸
- c) To what extent was the CTC appropriately staffed (adapted to the needs), and could field the right expertise?
- d) To what extent was the organization of the CTC (consortium of organizations, different sites, etc.) efficient (clear distribution of roles, coordination...)? To what

⁶⁸ Ibid.

extent have the new geographic organization of the CTCN (inc. a single point of contact for NDEs) deepened the engagement of the CTCN through more integrated delivery of its core services and better leverage multi-country solutions to mutual challenges faced within regions?

- e) To what extent was the network (Consortium and knowledge partners) mobilized and provided additional and valuable sources of expertise, knowledge and support (620 Network Members in 2020)? To what extent have the CTCN reinforced the involvement of Network Members and private sector in its activities (e.g. through solicitations for providing technical assistance or knowledge, or networking events)? (cf. Recommendation 9) (20% of engaged Network Members and knowledge partners and >90% of Network Members satisfied).⁶⁹
- f) To what extent have CTCN activities reinforced NDEs' capacities to implement their role? To what extent is the role of the NDE clear for country representatives? To what extent was the role of developed country NDEs clarified to facilitate the mobilization of expertise, collaboration and fund-raising (e.g. by creating working groups including NDEs from developed countries)? (cf. Recommendation 3) Is it efficient in terms of projects coordination? To what extent have countries enhanced awareness of their NDE by relevant stakeholders and supported their NDE through national institutions and cooperation with other national UNFCCC focal points (e.g. through the organization of annual UNFCCC focal point forums, consultation process to identify, select and refine TA requests)? (cf. Recommendation 1)
- g) To what extent were partnerships with peers (GEF, GCF, Development Banks, etc.) and organizations with complementary skills, networks and resources developed? To what extent were synergies with actions / historical investments been identified? Synergies with?
- h) To what extent have the CTCN management structure, processes and procedures, communication and M&E optimized its operation? To what extent has the efficiency of the CTCN's provision of TA been increased (e.g. better control of deadlines, more TA tenders opened to Network Members, pools of expertise within the Network, identification of TA best practices and successful TA projects, promotion of multiregional TA)? (cf. Recommendation 6)
- i) To what extent has the CTCN been cost-effective in achieving outputs, relative to comparable initiatives of UN and/or other stakeholders in the sector? To what extent has the CTCN provided value for money (considering the costs and outputs)? Could the results have been achieved with fewer resources without reducing the quality and quantity? What could have been done to improve cost-effectiveness?

Indicators and Data sources:

- Achievement of outputs given by the answers to the questions related to effectiveness
- Quantitative analysis of direct resources and costs: fund raising, expenses, CTC staffs and associated... (through data base analysis)
- Ratios between benefits achieved (technology transfers, partnership, trainings, knowledge) and funds disbursed for different activities
- Analysis of indirect resources and costs: partners' contributions, NDEs resources, time consumption for request applicant... (through interviews, surveys and the analysis of a sample of projects)
- Simplified benchmarking with comparable initiatives (through interviews with partners and a preliminary literature review): assessment of resources vs. performances, review of the organization and identification of best practices
- Perception of partners (advisory board, Consortium Partners, etc.) on the program's efficiency (through interviews and survey)
- Perception of NDEs and beneficiaries regarding the deployment (TA, KMS, training...) (through interviews, surveys and feedbacks)

⁶⁹ Ibid.

4. Impacts and sustainability

Question:

Did the CTCN reach its expected outcomes and provide long term positive effects?

Subquestions:

- a) To what extent did CTCN activities increase the capacity of developing country Parties to identify socially and environmentally sound technology needs? To what extent did the CTCN support countries:
 - a. to make stakeholders and the general public aware of climate technology development and transfer tools, approaches and methods?
 - b. to develop and implement national and sectoral technology plans?
 - c. to undertake and update TNAs, as well as enhance the implementation of their results and strengthen links to NDCs and NAPs?
 - d. to provide stakeholders with access to approaches, tools and means for the assessment of technologies that are ready to transfer?
 - i. Target of the first PoW: 50 to 75 national and sectoral technology plans by the end of 2018
 - ii. Target of the second PoW: 450 to 500 stakeholders with enhanced capacities to develop, transfer and deploy climate technologies per year
- b) To what extent did CTCN activities enhance the deployment and diffusion of innovative technologies and associated knowledge/expertise in developing country Parties? To what extent did the CTCN support countries:
 - a. to incentivize innovation, including by strengthening National Systems of Innovation (NSI) and technology innovation centres in developing country Parties?
 - b. to create synergies and to enable the exchange of best practices, experience and knowledge on technology development and transfer?
 - c. sharing information on international technology RD&D partnerships and initiatives, good practices and lessons learned from countries' climate technology RD&D policies and activities?
 - d. for developing, deploying and disseminating existing innovative technologies and scaling-up and diffusing emerging climate technologies?
 - e. for long-term technological transition pathways towards the widespread uptake of climate technologies?
 - i. Target of the first PoW: none
 - ii. Target of the second PoW: >90% of workshop/trainings participants reporting increased knowledge, capacity and/or understanding
- c) To what extent did CTCN activities enhance enabling environments that support the development of climate-related projects? To what extent did the CTCN support countries:
 - a. to address barriers to the development and transfer of socially and environmentally sound technologies?
 - b. to enhance enabling environments to promote endogenous and gender-responsive technologies for mitigation and adaptation actions?
 - c. to develop / implement policies which incentivize the private and public sector to fully realize the development and transfer of climate technologies?
 - i. Target of the first PoW: none
 - ii. Target of the second PoW: 10-12 policies, strategies, plans, laws... proposed, adopted or implemented as a result of the TA per year
- d) To what extent did CTCN activities increase the capacity of developing country Parties to prepare and implement technology projects to support action on low emission and climate-resilient development?
 - a. To what extent did the CTCN support countries in a country-driven manner?
 - i. Target of the first PoW: implementation of 100 new country-drive technology projects by the end of 2018

- ii. Target of the second PoW: 25-30 countries developing, transferring and deploying new and existing technologies as a result of CTCN support per year
- b. To what extent did CTCN activities allow the adoption and use of new and existing technologies in developing countries for NDC and NAP implementation?
 - i. Indicator of the first PoW: none
 - ii. Indicator of the second PoW: Anticipated number of technologies identified, transferred or deployed as a result of CTCN support
- e) To what extent did CTCN activities support collaboration and engagement of stakeholders? To what extent did the CTCN support countries:
 - a. at local level: better collaboration and engagement with relevant stakeholders, including local communities and authorities, national planners, the private sector and civil society organizations in the planning and implementation of Technology Mechanism activities? better engagement between NDEs and relevant stakeholders, including by providing guidance and information?
 - b. at global level: for collaboration and synergy with relevant international organizations, institutions and initiatives? including academia and the scientific community, to leverage their specific expertise, experience, knowledge and information, particularly on new and innovative technologies? Including capacity-building organizations and institutions, including those under the Convention?
 - i. Target of the first PoW: 18 twinning arrangements by the end of 2018
 - ii. Targets of the second PoW:
 - 1. 2-3 facilitated or enabled South-South collaborations per year
 - 2. 4-5 facilitated or enabled RD&D collaborations per year
- f) To what extent did CTCN activities support engagement and partnership with the private sector? To what extent did the CTCN support countries:
 - a. to foster private sector involvement by designing and implementing policies, regulations and standards that create enabling environments and favourable market conditions for climate technologies?
 - b. for building partnerships between the public and private sector in the development and transfer of climate technologies?
 - c. better engagement and collaboration with the private sector to leverage expertise, experience and knowledge regarding effective enabling environments that support the implementation of the Paris Agreement?
 - i. Target of the first PoW: 13 public-private partnerships by the end of 2018
 - ii. Target of the second PoW: 4-5 private sector collaborations per year
- g) To what extent did CTCN activities facilitate access to additional sources of funding? To what extent did the CTCN support:
 - a. stimulating climate technology investments deriving from CTCN assistance?
 - b. better collaboration of the Technology Mechanism with the Financial Mechanism (GEF and GCF funded programs built on CTCN TAs)?
 - c. access to financing for innovation, including for RD&D, enabling environments and capacity-building, developing and implementing the results of TNAs, and engagement and collaboration with stakeholders, including organizational and institutional?
 - i. Target of the first PoW: \$0.6 billion climate in technology investments
 - ii. Target of the second PoW: 10:1 anticipated amount of funding/investment leveraged (in USD) as a result of technical assistance

- h) To what extent did CTCN activities support the observation, monitoring and evaluation processes that ensure impacts are clearly reported? To what extent did the CTCN support countries:
- a. to improve climate change observation systems and related information management in developing country Parties?
 - b. to better plan, monitor and achieve technological transformation in accordance with the purpose and goals of the Paris Agreement?
 - i. Target of the first PoW: none
 - ii. Target of the second PoW: none
- i) To what extent did CTCN activities allow climate change resilient development and reduction of GHG emissions in developing countries? To what extent did the CTCN support countries:
- a. to reduce or avoid metric tons of CO₂ equivalent (tCO₂e) emissions as a result of CTCN TA?
 - b. to increased economic, health, infrastructure, built environment, or ecosystems resilience to climate change impacts reported by CTCN participant countries?
- j) What are the major factors influencing the achievement/non-achievement of outcomes to date, the replicability of the programme at other levels or in other sectors, and the likelihood of post-completion effects and lasting positive impacts?
- k) What unintended outcomes (positive and negative) and changes (direct and indirect) have occurred as a result of the CTCN?
- l) Is the CTCN necessary (in its current format) to expect sustainable effects? Could any other existing program / tool replace the CTCN effectively (and why)?

Indicators and Data sources:

- Analysis of monitoring and evaluation related documents (case study from UNEP, annual reports and other reporting documents)
- Analysis of network partners mobilization (list of participants, contributions...) and relations
- Review of outcome indicators values and reliability
- Benchmark (added-value of the CTCN)
- Thorough analysis of available documents related to a limited sample of sub-projects (e.g. evaluations and other assessments, press review...)
- Global literature review regarding climate change policies, collaboration and investments (impacts, changes...)
- Global analysis of climate change context changes in terms of mitigation and adaptation (through preliminary literature review and focus on 5 countries)
- Perception of partners (advisory board, Consortium Partners, etc.) on the program's effects and impacts (through interviews and survey)
- Perception of NDEs and beneficiaries regarding the benefits of the CTCN and the effects of their projects and policies (through interviews, surveys and feedbacks)

Annexe II

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[Anglais seulement]

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Annexe III

Liste des personnes interrogées

[Anglais seulement]

| <i>Type of actor</i> | <i>Organization</i> | <i>Position</i> |
|---|---------------------|---|
| CTCN | UNEP | Director and secretary Advisory Board |
| | UNIDO | Deputy Director |
| | UNEP | Regional Manager Africa |
| | UNIDO | Knowledge and Communications Manager |
| | UNEP | Associate Program officer |
| CTCN Hosts | UNEP | Chief, Energy Branch |
| | UNIDO | Director, Department of Energy |
| | | Industrial Development Officer |
| Consortium partners | AIT | Professor, Department of Water Engineering and Management |
| | CATIE | Head of Unit, Economy, Environmental and Sustainable Agribusiness Research Unit, Division for Green and Inclusive Development |
| | ENDA | Programme Coordinator, Enda Energy |
| Advisory Board members | CTCN-AB | Chair of the AB of the CTCN |
| | | Vice-Chair of the AB of the CTCN |
| | | Chair of the TEC |
| | | Non-Annex I country representative |
| | | Annex I country representative |
| | | Research and Independent Non-Governmental Organisations (RINGOs) |
| Donors | EU | Senior Policy Officer, DG DEVCO |
| | Japan | AB Member (in contact with Japan Ministries) |
| <i>Interviews conducted as part of the benchmarking process</i> | | |
| Regional climate technology and finance centers supported by the GEF under the Poznan strategic programme | GEF | Focal point |
| | AfDB | Focal point |
| | EBRD | Focal point |
| | ADB | Focal point |
| | IDB | Focal point |

Annexe IV

Aspects méthodologiques de l'enquête

[Anglais seulement]

1. E-survey questionnaires elaboration:

1. The survey aims at collecting data from multiple and similar interlocutors. The data is collected to get inputs on the deployment and achievements of the CTCN and reviews on the relevance and efficiency of the CTCN's action. The survey is also used to understand the needs of beneficiaries, countries and partners; and to gather proposals for improvement. It targets Knowledge partners, Consortium Partners, Network Members, NDEs, and beneficiaries (technical assistance request applicant, participants to events, etc.).

2. The format of the survey is adapted to the different respondents and the text available in English, French and Spanish. The survey is short and requires less than ten minutes to complete. It includes a majority of closed questions (multiple choice) and few open questions (text).

2. E-survey administration:

3. The survey was elaborated by the end of November 2020.

4. The e-survey tool used allows to edit questions on a user-friendly web-interface, to send automatic reminder until the end of the survey, to perform automatic statistics and calculation on the results and to download all data under Excel. As a result, the output of the survey consists both of graphs and statistical analyses and of anonymous verbatim.

5. The survey was sent to the email addresses of the different stakeholders given by the CTC and retrieved from the CTCN website. The first sending took place mid-January and the survey remained open for one month with three reminders sent to the targets. The survey closed mid-February 2021.

3. E-survey response rates:

6. The table below presents the response rates of the different target stakeholders.

| <i>Survey targets</i> | <i>No. of e-mails sent</i> | <i>No. of replies (answered question 1)</i> | <i>Rate</i> | <i>No. of survey completed (answered the last question)</i> | <i>Rate</i> |
|--|----------------------------|---|-------------|---|-------------|
| NDEs | 191 | 68 | 36% | 43 | 23% |
| Network members, Consortium & Knowledge Partner | 641 | 198 | 31% | 118 | 18% |
| Beneficiaries | 1737 | 422 | 24% | 248 | 14% |
| Beneficiaries – TA proponent | 72 | 25 | 35% | 22 | 31% |
| Beneficiaries – Training participants | 398 | 74 | 19% | 41 | 10% |
| Beneficiaries – Webinar attendees | 1267 | 323 | 25% | 185 | 15% |

Annexe V

Présentation générale d'organisations/initiatives comparables

[Anglais seulement]

| <i>Name</i> | <i>Geographical perimeter (targeted regions/ countries)</i> | <i>Year of inception</i> | <i>Type of services/activities</i> |
|--|---|--------------------------|--|
| AfDB's ACTC | Sub-Saharan African countries | 2014 | Technical assistance / research grants for: <ul style="list-style-type: none"> - Knowledge creation and networking - Support for Policy and institutional Reform - Program and Project Support |
| ADB's CTFC | Asia-Pacific Region | 2012 | <ul style="list-style-type: none"> - Implementation of national and regional centers, networks, organizations, and initiatives (UNEP-led) - Building national and regional technology transfer centers and centers of excellence (UNEP-led) - Development and implementation of country driven transfer policies, programs, demonstration projects, and scale-up strategies (UNEP-led) - Integrating climate technology financing needs into national development strategies, plans, and investment priorities (ADB-led) - Catalysing investments in EST deployment (ADB-led) - Establishing a 'marketplace' of owners/users of low-carbon technologies to facilitate their transfer (ADB-led) |
| EBRD's FINTECC | South-eastern Europe Central Europe and Baltic States Eastern Europe and the Caucasus Central Asia | 2015 | <ul style="list-style-type: none"> - Incentive grants for introducing eligible technologies, which are available as a complement to EBRD financing (5–25 per cent of the projects) - Regional technology transfer networks to foster knowledge-sharing on policies and practices - Institutional capacity-building to assist climate technology transfer (improvement of policy environments and legislative frameworks) |
| IDB's Climate Technology Transfer Mechanisms and Networks in Latin America and the Caribbean project | Latin America and the Caribbean | 2012 | <ul style="list-style-type: none"> - Institutional-capacity building and analytical tools to address climate technologies-related issues in national and sectoral policies and plans; - Climate technology transfers through technology networks and centres - Promotion of public and private investment in order to ensure sustainability |

Annexe VI

Aperçu général du CRTC

[Anglais seulement]

A. Mandate of the CTCN

1. In 2010, the COP established the Technology Mechanism with the objective of enhancing action on climate technology development and transfer. The mechanism consists of two bodies: The Technology Executive Committee and the Climate Technology Centre and Network. In 2011, the COP adopted the CTCN's terms of reference. In 2012, the COP selected UNEP, as the leader of the consortium of partner institutions, as the host of the Climate Technology Centre for an initial term of five years, with possible renewal if so decided by the COP in 2017. In 2013, the COP adopted the modalities and procedures of the CTCN, effectively allowing the CTCN to start its work and making it operational.

2. In accordance with its TOR, the CTCN has the following functions:¹

- (a) At the request of a developing country Party:
 - (i) Providing advice and support related to the identification of technology needs and the implementation of environmentally sound technologies, practices and processes;
 - (ii) Facilitating the provision of information, training and support for programmes to build or strengthen capacity of developing countries to identify technology options, make technology choices and operate, maintain and adapt technology;
 - (iii) Facilitating prompt action on the deployment of existing technology in developing country Parties based on identified needs;
- (b) Stimulating and encouraging, through collaboration with the private sector, public institutions, academia and research institutions, the development and transfer of existing and emerging environmentally sound technologies, as well as opportunities for North–South, South–South and triangular technology cooperation;
- (c) Facilitating a network of national, regional, sectoral and international technology centres, networks, organization and initiatives with a view to:
 - (i) Enhancing cooperation with national, regional and international technology centres and relevant national institutions;
 - (ii) Facilitating international partnerships among public and private stakeholders to accelerate the innovation and diffusion of environmentally sound technologies to developing country Parties;
 - (iii) Providing, at the request of a developing country Party, in-country technical assistance and training to support identified technology actions in developing country Parties
 - (iv) Stimulating the establishment of twinning centre arrangements to promote North–South, South–South and triangular partnerships, with a view to encouraging cooperative research and development;
 - (v) Identifying, disseminating and assisting with developing analytical tools, policies and best practices for country-driven planning to support the dissemination of environmentally sound technologies;
- (d) Performing other such activities as may be necessary to carry out its functions

¹ Decision 1/CP.16, para. 123.

3. In accordance with its TOR, the roles and responsibilities of the Climate Technology Centre and its network are as follows:²

(e) The CTC shall manage the process of receiving and responding to requests from developing country Parties and shall work with the Network to respond to such requests. The Climate Technology Centre will receive these requests from developing country Parties through the national entity designated for this purpose under decision 4/CP.13.

(f) The CTC would respond to requests by developing country Parties either by itself or by identifying the appropriate organizations in the Network in consultation with the requesting developing country Party. The Centre will:

(i) Receive and assess requests and refine and prioritize those requests in conjunction with the nationally designated entity with the aim of establishing its technical feasibility;

(ii) Respond to requests, through either the Centre or the Network, based on the use of the most appropriate capacity and expertise in accordance with its approved modalities and procedures.

(g) The members of the Network will undertake the substantive work to address requests made to the Climate Technology Centre by developing country Parties.

4. The Technology Mechanism established under the Convention also serves the Paris Agreement. As part of the Paris Agreement, a technology framework was established to provide overarching guidance to the work of the Technology Mechanism in promoting and facilitating enhanced action on technology development and transfer in order to support the implementation of the Paris Agreement. CMA.1 adopted the technology framework and decided that the TEC and the CTCN, consistently with their respective functions, mandates and modalities of work, shall implement the technology framework in close collaboration under the guidance of the CMA.³

B. Services of the CTCN

5. The CTCN has three core services: (i) providing technical assistance at the request of developing countries to accelerate the transfer of climate technologies; (ii) creating access to information and knowledge on climate technologies and (iii) fostering collaboration among climate technology stakeholders via the Centre's network of regional and sectoral experts from academia, the private sector, and public and research institutions.

1. Technical Assistance

6. The CTCN provides technical targeted assistance in response to requests submitted by developing countries via their National Designated Entities (NDEs). The CTCN does not provide funding directly to countries, but instead supports the provision of technical assistance provided by experts on specific climate technology sectors. The CTCN also provides Fast Technical Assistance which consists of a short time response (up to 2 months) with a limited value of 15,000 USD, and referring to technology prioritisation, endogenous technologies assessment, policies and measures that are immediate priorities for the requesting country.

2. Knowledge Management

7. The CTCN hosts a web-based knowledge management system that aims to provide access to climate adaptation and mitigation technology information, tools, services, reports and training across numerous sectors such as agriculture, energy, industry, water, etc.⁴ It constitutes the largest database for climate technology resources where countries and institutions can propose learnings (17,000+ resources), facilitating the sharing of web-based

² Decision 2/CP.17, annex VII, para. 4-6.

³ Decision 15/CMA.1.

⁴ Available at: <https://www.ctc-n.org>.

peer-to-peer learning and training. It also enables the CTCN to process NDEs request quickly while tracking and managing its workflow.

3. Capacity-building

8. The CTCN facilitates the provision of information, training and support to build and/or strengthen the capacity of developing countries to identify technology options, make technology choices and operate, maintain and adapt technology.

4. Networking /events

9. The CTCN organises a series of events and Regional Forums to create synergies and to enable the exchange of best practices, experience and knowledge on technology development and transfer amongst NDEs, Network Members and climate technology stakeholders.

C. Organizational structure of the CTCN

1. Advisory Board

10. Strategic guidance originating from the COP and the CMA is delivered to the CTC by the Advisory Board which:⁵

11. Provides guidance on:

- (a) The report of the CTCN;
- (b) Prioritization criteria.

12. Approves:

- (c) The report of the CTCN;
- (d) Prioritization criteria for responding to requests from developing country Parties;
- (e) Criteria regarding the structure of the Network and the designation of organizations as members of the Network;
- (f) The programme of work.

13. Endorses:

- (g) The appointment of the director;
- (h) The budget;
- (i) The financial statement;
- (j) Ensure the application of fiduciary standards, and legal and ethical integrity;
- (k) Monitor, assess and evaluate the timeliness and appropriateness of the responses of the CTCN to requests.

14. The Constitution of the Advisory Board was agreed upon at COP 18.⁶ The Advisory Board meets twice a year, and at the time of the inception report 16 meetings had already been held.

2. Climate Technology Centre

15. The CTCN includes a Centre, managed by UNEP, in collaboration with UNIDO, and supported by the Consortium composed of 11 partner organizations:

- (a) Asian Institute of Technology (Thailand);

⁵ Decision 2/CP.17, annex VII.

⁶ Decision 14/CP.18, annex II.

- (b) Bariloche Foundation (Argentina);
- (c) Council for Scientific and Industrial Research (South Africa);
- (d) The Energy and Resources Institute (India);
- (e) Environment and Development Action in the Third World (Senegal);
- (f) Tropical Agricultural Research and Higher Education Center (Costa Rica);
- (g) World Agroforestry Centre (Kenya);
- (h) Deutsche Gesellschaft für Internationale Zusammenarbeit (Germany);
- (i) The Netherlands Organisation for Applied Scientific Research (The Netherlands);
- (j) National Renewable Energy Laboratory (United States of America);
- (k) UNEP-DTU & UNEP-DHI Partnerships (Denmark).

16. The terms of the collaboration between UNEP and UNIDO, as hosts of the Climate Technology Centre, and the Consortium members are governed in separate MoUs. UNEP hosts the CTC as a dedicated entity within UNEP, to the extent consistent with UNEP regulations, rules, and procedures, UNEP Governing Council decisions, and the provisions of the host agreement. UNEP provides its inputs through its Energy, Climate and Technology Branch that coordinates contribution from other UNEP Branches and Divisions. On UNIDO's side, the Programme is anchored in the Energy Branch.

3. Network

17. CTCN is a global network of more than 600 members and provides services to all developing countries in Africa, Asia and the Pacific, and Latin America and the Caribbean, and least developed countries in particular.

18. The Network aims to integrate a variety of stakeholders ranging from regional climate technology centers and networks to intergovernmental, international, regional and sectoral institutions, organizations, partnerships and initiatives that could contribute to technology deployment and transfer as well as research, academic, financial, non-governmental, private-sector and public-sector organizations and partnerships. To be part of the network, the organizations need to go through a formal application process, and to demonstrate that they meet the criteria for Network Membership, approved by the Advisory Board.

19. Knowledge partners support CTCN's mandate to foster collaboration and access to information and knowledge in order to accelerate climate technology transfer. Through its knowledge partner network, the CTCN generates, manages and shares knowledge, experience and good practices at the national, regional and global level, taking into account traditional knowledge and practices. Knowledge partners include Consortium Partners, Network Members, UN agencies, academic institutions, non-governmental organizations, private sector and other reliable sources of climate technology information.

20. The CTCN aims to strengthen developing countries' industrial SMEs in order to move from conventional technologies to climate technologies. The Private Sector Hub consists of the following elements: 1) introducing climate technologies and international suppliers to the local SMEs, 2) creating linkages to finance, 3) building the capacity and awareness of the local industrial SMEs.

4. National Designated Entities

21. CTCN is acting upon local and national ownership and country driven needs that are expressed to it by a NDE. The establishment of an NDE by a Party to the UNFCCC is a necessary step for participation in the CTCN process. NDE act as intermediaries between relevant national stakeholders and CTCN in order to ensure a coordination of requests from relevant ministries, focal points for other UNFCCC mechanisms, private sector, civil society and academia. 161 NDEs of developed and developing countries serve as focal points on

22. Requests for technical assistance from developing countries through their NDEs that act as CTCN focal point in the countries are received by the CTC and responded to with support along all stages of the technology cycle, from identification of technology needs, through assessment, selection and piloting of technological solutions, to their customization and widespread deployment.

24. Figure 1 presents the overall organizational structure of the CTCN.

Overall organizational structure of the CTCN (Source: EY)



⁷ CTCN. 2019. Programme of Work 2019-2022 Climate Technology Centre and Network. Available at ctcn-n.org/sites/www.ctcn-n.org/files/ctcn_programme_of_work_2019-2022.pdf.

of the CTCN to deliver these services. It also describes how the CTCN will deliver on these targets over the next five years.

26. The second PoW for the CTCN covers the period 2019-2022. Its term aligns with the renewal of the hosting agreement between the COP and UNEP regarding the hosting of the CTC as decided by COP 23 in December 2017.

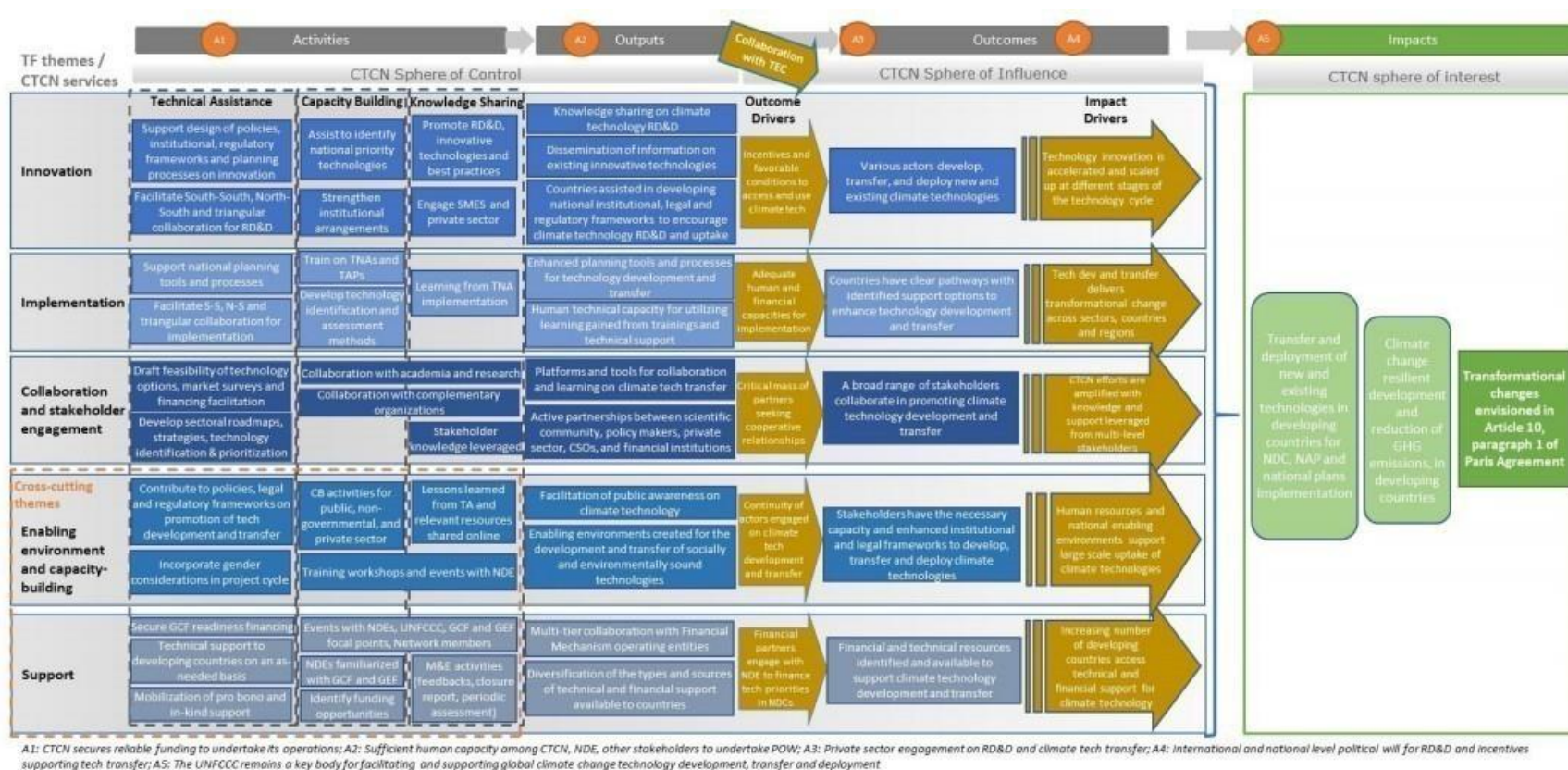
27. To further accelerate the development and transfer of climate technologies, the technology framework establishes principles and puts forward actions and activities across five key themes: (a) innovation; (b) implementation; (c) enabling environment and capacity-building; (d) collaboration and stakeholder engagement; and (e) support. The CTCN second PoW organizes the activities of the CTCN, and those undertaken collaboratively with the TEC, according to this structure and ensures coherence with corresponding guidance from Parties to the UNFCCC and its Advisory Board.

28. The annual operating plans include indicators and targets linked to the specific activities of the CTCN in line with the Theory of Change, Logical Framework and Performance Measurement Frameworks that are part of the CTCN M&E Framework. To allow flexibility, annual operating plans set targets on an annual basis in line with resources available to support its operations, and provide detail on the activities of the CTCN that fall within its mandate as the implementation arm of the Technology Mechanism – such as its work to support the needs of developing countries, in particular Least Developed Countries and Small Island Developing States.

29. Figure 2 presents a visual model of the CTCN at a strategic level. It presents logical pathways that capture actions and results likely to lead to transformational change, and how the expected activities, outputs, and outcomes are interwoven in order to respond to the technology framework themes and actions. It aims to provide clarity about what the CTCN wants to achieve and how and enables evidence-based reflection on how services could be better designed.

Figure 2

Visual model of the CTCN at a strategic level (Source: CTCN. 2020. Climate Technology Centre & Network Monitoring and Evaluation System)



30. To effectively implement its PoW, the CTCN requires financial resources for its operations with the potential to scale up in accordance with needs.

31. In accordance with the guidance contained in UNFCCC decision 2/CP.17, para. 139, the CTCN developed a strategy to finance its Second PoW in early 2018. The Strategy establishes the rationale and approach to be adopted by the organization across primary target groups. In its first five years of operations the CTCN was funded primarily through voluntary contributions from developed country parties and regional organizations. It has also received targeted project support from the GEF and the GCF, from three national governments on a pro bono basis, and from its co-hosts UNEP and UNIDO. Total funds secured for the activities of the CTCN through the end of 2018 totalled approximately USD 60 million.

32. Table 1-5 present intended outcomes and actions and activities implemented by CTCN according to those five themes as detailed in the Second PoW of the CTCN.

Table 1

Innovation

| <i>Actions and activities by the CTCN</i> | <i>Intended outcomes (aligns with technology framework activity)</i> |
|--|--|
| Technical Assistance is delivered to improve policy environments, strategies, legal and regulatory frameworks. Capacity building to strengthen institutional arrangements. | Countries are supported to incentivize innovation, including National Systems of Innovation (NSI). |
| The CTCN's knowledge-sharing activities and online knowledge platform will be supplemented with best practice and lessons learned from countries' climate technology RD&D policies and activities, including through links to additional external databases and other resources. | Providing information and facilitating the sharing of information on international technology RD&D partnerships and initiatives, good practices and lessons learned from countries' climate technology RD&D policies and activities. |
| Technical Assistance is focused on priority technologies with the potential for transformative impact. Knowledge related to innovative technologies and best-practice examples are sourced and promoted through CTCN knowledge platform and media channels. | Countries are supported for the development, deployment and dissemination of existing innovative technologies and the scale-up and diffusion of emerging climate technologies. |
| Technical Assistance is delivered in support of Technology Needs Assessments, Technology Action Plans, NDCs, and NAPs. | Countries are receiving support for long-term technological transition pathways towards the widespread uptake of climate technologies. |
| CTCN promotes the engagement of countries in RD&D activities through South-South, North-South and triangular collaboration and within selected international initiatives. | Countries are receiving support for initiating joint climate technology RD&D activities. |
| Technical Assistance is increasingly implemented by Network Members. Capacity building is delivered to small and medium sized enterprise. Knowledge Sharing initiatives focused on private sector partners are enhanced and an online platform for private sector engagement is created. | Partnerships are built between the public and private sector in the development and transfer of climate technologies. |

Table 2
Implementation

| <i>Actions and activities by the CTCN</i> | <i>Intended outcomes (aligns with technology framework activity)</i> |
|--|--|
| Technical Assistance is provided to countries to develop TNAs and TAPs, delivered in close collaboration with the GEF and GCF Capacity Building is delivered to countries to make effective use of TNA findings and Technology Action Plans and roadmaps Learning from experiences in developing and implementing TNAs is facilitated through the sharing of information on the CTCN knowledge platform which will be supplemented with best practice and lessons learned on TNAs, at regional forums, and at UNFCCC meetings. | Countries are supported to undertake and update TNAs, as well as enhance the implementation of their results and strengthen links to NDCs and NAPs. |
| Capacity is built through on-the-job and curriculum-based training on technology identification and assessment methods CTCN knowledge portal provides access to updated and relevant tools and resources for technology identification. | Recommendations have been identified and developed to provide stakeholders with access to approaches, tools and means for the assessment of technologies that are ready to transfer. |
| Technical Assistance is delivered to develop and strengthen policies, plans and legal and regulatory frameworks, and to identify barriers to the development and transfer of socially and environmentally sound technologies. | Countries are able to enhance enabling environments and address barriers to the development and transfer of socially and environmentally sound technologies. |
| Technical Assistance is provided to countries to develop TNAs and TAPs, delivered in close collaboration with the GEF and GCF Capacity Building is delivered to countries to make effective use of TNA findings and Technology Action Plans and roadmaps Learning from experiences in developing and implementing TNAs is facilitated through the sharing of information on the CTCN knowledge platform which will be supplemented with best practice and lessons learned on TNAs, at regional forums, and at UNFCCC meetings. | Countries are supported to undertake and update TNAs, as well as enhance the implementation of their results and strengthen links to NDCs and NAPs. |
| Capacity is built through on-the-job and curriculum-based training on technology identification and assessment methods CTCN knowledge portal provides access to updated and relevant tools and resources for technology identification. | Recommendations have been identified and developed to provide stakeholders with access to approaches, tools and means for the assessment of technologies that are ready to transfer. |

Table 3
Enabling environment and capacity-building

| <i>Actions and activities by the CTCN</i> | <i>Intended outcomes (aligns with technology framework activity)</i> |
|--|--|
| Knowledge-gathering through leveraging the expertise of Network Members including expanding the network and enhancing its connectedness, and | Stakeholders and the general public are increasingly aware of climate technology development and transfer tools, approaches and methods. |

| <i>Actions and activities by the CTCN</i> | <i>Intended outcomes (aligns with technology framework activity)</i> |
|--|--|
| <p>Knowledge partners, and gathering lessons learned from technical assistance</p> <p>Knowledge-sharing through continuously updated and relevant resources in the CTCN knowledge platform, webinars and targeted communications.</p> <p>Technical Assistance is delivered to identify and develop efficient financing options for climate technologies, and to strengthen policies, plans and legal regulatory frameworks Capacity Building to support the development of national strategies and action plans, supportive policy environments, and legal.</p> <p>Technical Assistance implementation fully incorporates the CTCN gender guidelines and support is provided to requesting countries to develop their own gender-responsive initiatives, frameworks, policies and programs. Capacity building is delivered to public, non-governmental, and private sector and fully incorporates the CTCN gender guidelines. Capacity building to develop gender-responsive and endogenous technologies in developing countries is delivered.</p> <p>Engagement initiatives focused on private sector partners are convened Capacity building is delivered to small- and medium-sized enterprises and public sector institutions to enhance their understanding of efficient tools, policy instruments and incentives to support technology transfer.</p> <p>Capacity is built within the private sector to carry out market assessments of climate technologies Capacity is built in the public sector to understand the needs and appropriate incentives to spur adoption of climate technologies by the private sector.</p> <p>Learning is facilitated based on good practices and lessons learned from countries' climate technology policies and activities and shared online.</p> <p>Engagement is enhanced through workshops and meetings with capacity-building institutions through UNFCCC Climate Weeks, inputs to GCF regional Dialogue.</p> <p>Learning is provided to NDEs including through regional forum, thematic training workshops, online knowledge platform and support for national events.</p> <p>Technical Assistance is delivered to support the identification of efficient technologies and assessment methods Capacity is built through training of relevant government</p> | <p>Countries build investment friendly environments, including national strategies and action plans, policy environments, legal and regulatory frameworks and other institutional arrangements.</p> <p>Countries enhance enabling environments to promote endogenous and gender Technical Assistance implementation fully incorporates the CTCN gender guidelines and support is provided Number of Network Members with gender expertise increased 8 responsive technologies for mitigation and adaptation actions.</p> <p>Countries have developed/implemented policies and enhanced enabling environments which incentivize the private and public sector to fully realize the development and transfer of climate technologies.</p> <p>Governments are fostering private sector involvement by designing and implementing policies, regulations and standards that create enabling environments and favourable market conditions for climate technologies.</p> <p>Information is shared and networking enhanced to create synergies and to enable the exchange of best practices, experience and knowledge on technology development and transfer.</p> <p>Collaboration is enhanced with existing capacity-building organizations and institutions, including those under the Convention.</p> <p>Capacity of NDEs of all Parties, especially those in developing countries, is increased.</p> <p>Capacities of Parties to plan, monitor and achieve technological transformation in accordance with the purpose and goals of the Paris Agreement is increased.</p> |

| <i>Actions and activities by the CTCN</i> | <i>Intended outcomes (aligns with technology framework activity)</i> |
|--|--|
| officials to plan, monitor and achieve technological transformation. | |

Table 4

Collaboration and stakeholder engagement

| <i>Actions and activities by the CTCN</i> | <i>Intended outcomes (aligns with technology framework activity)</i> |
|--|--|
| CTCN to foster partnerships and host events with key stakeholders. These partnerships will feature NDEs as pivotal actors to link them to stakeholders, including the private sector, as well as to support enhanced engagement among Network Members. | Enhanced collaboration and engagement with relevant stakeholders, including local communities and authorities, national planners, the private sector and civil society organizations in the planning and implementation of Technology Mechanism activities. |
| CTCN to partner with Regional Development Banks, local financial institutions and private sector associations. Technical Assistance will focus on strengthening private sector access to finance through scale-up of pre-feasibility studies to define market barriers and enable investors to access those markets. Capacity Building will also be provided to assist stakeholders with technology identification, and regional forums will provide opportunities for matchmaking with relevant partners. | Enhanced engagement and collaboration with the private sector to leverage expertise, experience and knowledge regarding effective enabling environments that support the implementation of the Paris Agreement. |
| Events, including specific thematic workshops at sub-regional level will be organized with NDEs to empower them in their role as technology focal points of the UNFCCC. | Enhanced engagement between NDEs and relevant stakeholders, including by providing guidance and information. |
| The expertise of academia, research institutions and relevant international organizations will be leveraged through knowledge partnerships and at CTCN events and regional forums to assist beneficiaries on new and innovative technologies. Those actions will prepare the ground for scale-up purposes. These activities include also new and innovative technologies that require an initial assessment to verify their potential for growth and deployment. | Enhanced collaboration and synergy with relevant international organizations, institutions and initiatives, including academia and the scientific community, to leverage their specific expertise, experience, knowledge and information, particularly on new and innovative technologies. |
| CTCN to foster partnerships and host events with key stakeholders. These partnerships will feature NDEs as pivotal actors to link them to stakeholders, including the private sector, as well as to support enhanced engagement among Network Members. | Enhanced collaboration and engagement with relevant stakeholders, including local communities and authorities, national planners, the private sector and civil society organizations in the planning and implementation of Technology Mechanism activities. |

Table 5
Support

| <i>Actions and activities by the CTCN</i> | <i>Intended outcomes (aligns with technology framework activity)</i> |
|--|---|
| Events and Workshops will be convened that connect NDE with UNFCCC climate focal points with focal points for the GCF and GEF. Technical Assistance will be undertaken that is funded by the GCF Readiness and Preparatory Support Programme. Capacity Building, including the Vision to Concept approach developed by the CTCN, will train project developers to prepare climate technology-related submissions to the GCF | Collaboration of the Technology Mechanism with the Financial Mechanism is enhanced and support for technology development and transfer is strengthened. |
| Technical Assistance will be provided to developing countries upon their request. Capacity Building designed to raise awareness of funding opportunities for climate technologies will be undertaken. Events and workshops will be convened to bring together developing country focal points, including NDE, with Network Members possessing project development finance expertise as well as with representatives from international financial institutions. | Enhanced technical support is provided to developing country Parties in a country-driven manner. Access to financing for innovation, including for RD&D, enabling environments and capacity-building, developing and implementing the results of TNAs, and engagement and collaboration with stakeholders, including organizational and institutional support are facilitated. |
| Donor engagement strategy of the CTCN to be implemented Modalities and opportunities for pro bono and in-kind support to be communicated to countries and institutions with available resources and expertise, including through their NDEs. Partnerships with organizations with complementary skills, networks, and resources will be developed. | Mobilization of various types of support, including pro bono and in-kind, from various sources for the implementation of actions and activities in each key theme of the technology framework is enhanced. |

Annexe VII

Données complémentaires sur le fonctionnement du CRTC

[Anglais seulement]

1. This annex presents supporting data on the performance of the CTCN described in Chapter III of this report. The underlined text corresponds to the evaluation questions covered in the respective section.

A. Relevance

2. Are the strategy and the resources of the CTCN relevant and appropriate regarding priorities given by the COP and the local needs for support?

1. Alignment with COP decisions

3. The surveys and interviews conducted for the purpose of this review indicate that the CTCN was set up in accordance with COP decisions. The CTCN secretariat was reactive to include successive COP decisions to its agenda and operations and submit required amendments to the deliberations of the Advisory Board.

4. The first PoW, approved by the CTCN Advisory Board in 2013, provided a roadmap for the start-up phase of the CTCN through the establishment of its three core service areas formulated in its terms of reference:¹ responding to country requests for technical assistance; building local capacity and networks; and increasing information flows and knowledge-sharing.

5. At COP21, the TEC and the CTCN were requested to undertake further work on technology RD&D and on the development of endogenous capacities and technologies.

6. Regarding RD&D, the second PoW, as well as Annual Operating Plan, contain actions covering RD&D through:

(a) knowledge-sharing activities and online knowledge platform climate technology RD&D;

(b) promotion of the engagement of countries in RD&D activities through South-South, North-South and triangular collaboration and within selected international initiatives;

(c) assistance to countries in developing national institutional, legal and regulatory frameworks to encourage climate technology RD&D and uptake.

7. Endogenous capacities seem to have earned better consideration in the last four years. They are now incorporated in decision making process for TA. The topic has also been included in CTCN strategy of intervention on capacity building. Following a TEC survey on endogenous capacities and technologies identifying needs, gaps, challenges and enabling environments, endogenous capacities have also been identified in the 2021 Annual Operating Plan as an area of collaboration with the TEC.

2. Consideration of past evaluations

8. The second PoW also considers the recommendations that have been formulated during the first independent review of the CTCN. The extent to which each recommendation has been considered by the CTCN is presented in Table 6.

¹ Decision 2/CP.17, §139 and Annex VII.

Table 6

CTCN response to first independent review recommendations (Source: CTCN)

| <i>Review Recommendation</i> | <i>CTCN Response</i> |
|--|--|
| Recommendation 1: Encourages countries to clearly identify NDEs and support them through national institutions and other UNFCCC focal points. | <ul style="list-style-type: none"> • CTCN continued to support the information sharing among focal points of various climate initiatives, and to establish the linkages between focal points under the Convention, by inviting both NDEs and NDAs to various Regional Fora. • CTCN further supported NDEs in organizing national events to improve the preparation of country activities on technology transfer. |
| Recommendation 2: Encourages the COP to ensure that the governance of the CTCN continues to respond to its current and projected needs in terms of strategic and technical guidance. | <ul style="list-style-type: none"> • CTCN AB12 considered and provided guidance on CTCN Second PoW (2019-2022). |
| Recommendation 3: Encourages the CTCN to clarify the roles of NDEs from developed countries. | <ul style="list-style-type: none"> • CTC developed a guide describing possible roles and responsibilities of Annex I NDEs that was endorsed at the 4th meeting of the Advisory Board.² • CTCN has been working with donor partners, particularly Japan and the Republic of Korea, to implement modalities for channelling pro-bono support to CTCN activities and aims to continue these efforts with a focus on technical assistance provided through developed country NDEs. • Systematic approach to developed country NDE engagement is a component of the updated internal donor reporting protocols. |
| Recommendation 4: Encourages UNEP and UNIDO as hosts of the CTCN, to identify potential sources of additional financial resources. | <ul style="list-style-type: none"> • CTCN engaged a deputy director in February 2019 to lead resource mobilization efforts. • The CTCN collaborated with regional banks and financiers via regional focal points. • UNEP and UNIDO have engaged their leadership to raise the profile of the CTCN among public and private stakeholders. |
| Recommendation 5: Encourages the CTCN to continue exploring with the GEF and the GCF how to further facilitate provision of sustained funding for CTCN activities, in line with their assigned mandates. | <ul style="list-style-type: none"> • CTCN experienced gradually smoothing collaborative modalities with GCF. The CTCN (via its host organizations) and the GCF are partnering under the GCF Readiness and Preparatory Support Programme, through which the CTCN provides services and expertise in response to developing countries' requests, utilizing GCF country resources. |
| Recommendation 6: Encourages the CTCN, the GEF and the GCF to enhance operational linkages. | <ul style="list-style-type: none"> • The results of CTCN survey on NDE-GEF OFPs collaboration were included |

² Available [here](#).

| <i>Review Recommendation</i> | <i>CTCN Response</i> |
|--|--|
| Recommendation 7: Encourages the CTCN, its Advisory Board and other relevant actors to undertake actions to increase the efficiency of the CTCN provision of technical assistance. | <p>to the report of GEF to the 24th Session of the COP to the UNFCCC.</p> <ul style="list-style-type: none"> • At COP 24, the Parties invited the CTCN, GEF, and the GCF to continue enhancing their collaboration and noted the need for the engagement in supporting developing country Parties. The Parties also invited the developing countries to seek support from the CTCN to develop and submit the technology-related projects to the operating entities of the Financial Mechanism for implementation. • The CTCN discusses on a continuous basis with the GCF and GEF Secretariat the possible ways to further enhance the engagement with the entities of the Financial Mechanism, while the Regional approach and forums allow for strengthening linkages among technology and financial focal points. • The CTCN developed a streamlined fast technical assistance process (launched in 2018). • The Centre's alignment of services with a more regional focus has enabled the CTCN to identify regional trends more effectively in terms of technology demand; and NDEs have gained a dedicated team for discussing their needs and accessing CTCN services. • The CTCN introduced a two-tier bidding process to facilitate the participation of more Network members in technical assistance projects, which has led to an increase in the number of Network members applying to provide technical assistance. |
| Recommendation 8: Encourages the CTCN to continue training NDEs regularly and facilitating the elaboration of requests through regional fora and its Incubator Programme. | <ul style="list-style-type: none"> • The CTCN continued to conduct each year the Regional Fora for NDEs (online for the 2020 edition) with the objective to train them on how best to tap the services of CTCN and link with other mechanisms under the Convention and stakeholders outside of it. • The CTCN continued to implement the 'Vision to Concept' capacity building module to help countries develop a pipeline of concept notes for submission to the GCF based on the project ideas identified as priorities in the countries' climate change process. • The CTCN continued implementing its Incubator Programme for LDCs. The CTCN Incubator Programme provides tailored support to NDEs from Least Developed Countries (LDCs) to achieve the mitigation and adaptation targets included in their Nationally Determined Contributions (NDCs) through the development of technology roadmaps. |

| <i>Review Recommendation</i> | <i>CTCN Response</i> |
|---|---|
| Recommendation 9: Encourages the CTCN to continue raising awareness of its services among developing countries. | <ul style="list-style-type: none"> • Through the regional re-organization, NDEs have gained a single point of contact for discussing their needs and accessing CTCN services. • The CTCN transitioned to a regional approach to service delivery, which enables CTCN regional managers to interact more consistently with NDEs and other stakeholders in their regions. • The CTCN continued to raise awareness about its services. In 2018, the CTCN conducted specific training programmes, bringing together various stakeholders including Network members, NDEs and Consortium partners, and organized 9 technology events at COP24 engaging 750 attendees. In 2019, the CTCN continued to deliver strengthened communication through implementing regionally tailored strategies, sharing information on climate technologies and further generating awareness of its services. • The CTCN prepared communication material highlighting the benefits and value-added of its Network and incorporated them in its Progress reports. • The CTCN maintains an active mailing list of twelve thousand subscribers in order to circulate invitations to regional NDE forums, stakeholder forums and technology events, share information about upcoming webinars hosted by the CTCN and its partners, and notify Network members of opportunities to bid on technical assistance. |
| Recommendation 10: Encourages the CTCN to reinforce the involvement of Network Members as they constitute an additional pool of relevant expertise and resources. | <ul style="list-style-type: none"> • The CTCN continued building and strengthening its Network with a wide range of sectoral expertise. As of 2020, 75% of TA are being provided by its Network. • As a result of a survey of its Network members in 2019, the CTCN developed in 2020 a Network engagement plan that responds to Network members' interest to engage more in networking, knowledge sharing, national events, and matchmaking events. • The CTCN increased its provision of feedback to Network members on technical assistance bidding proposals. • Each member was granted login access to share information resources on the CTCN website. • Efforts were made to increase online engagement by improving the user-friendliness of the CTCN web portal, simplifying the search, filter and menu structures, and increasing the transparency of funding and M&E information; |

| <i>Review Recommendation</i> | <i>CTCN Response</i> |
|---|---|
| <p>Recommendation 11: Encourages the CTCN to strengthen transparency and reporting.</p> <p>Recommendation 12: Encourages the CTCN to strengthen its processes and capacities in terms of reporting and evaluation of its impacts.</p> | <ul style="list-style-type: none"> • Additional knowledge sharing, and capacity building engagement opportunities were initiated, such as targeted webinars, technology clinics, and co-creation of regional technology briefs, where members can offer their expertise and benefit from collaborative activities. Additional efforts focused on outreach, particularly to academia and research institutions, and raising awareness of the climate technology resources available via the CTCN web portal. The CTCN has engaged its Advisory Board in this process and will report on progress at COP 26. • The CTCN revised and updated its M&E system in coordination with the TEC in order to enhance reporting and evaluation of its impact. • The CTCN has developed an internal M&E dashboard on its website for storing, aggregating and disseminating data on the impact of technical assistance. Next steps include operationalizing the M&E dashboard and making more impact data available online. • The CTCN now displays funding and donor agreements online,³ as well as documents such as relevant COP decisions, independent CTCN reviews and recommendations, and the monitoring and evaluation framework that guides CTCN operations.⁴ |
| Recommendation 13: Encourages the Advisory Board, through the COP, to take on and operationalize the recommendations of this review. | NA |

9. The CTCN also developed its 2018 Annual Report in response to recommendations from the DANIDA evaluation report.

3. Developing countries needs

10. As CTCN services are provided according to a demand-driven approach, most stakeholder agree that it responds to developing countries' needs. This is also reflected in surveys' answers:

(a) Only 4% of NDEs who responded to the survey have never benefited from services provided by the CTCN in the past four years;

(b) To the question "Concerning the implementation phase of the technical assistance project(s) you participated to, would you say that the technical assistance corresponded to an important need of the country in terms of technology transfer?" almost 90% of the Consortium Partners, knowledge partners and Network Members who responded to the survey indicated that they agree or strongly agree. This corresponds to the results

³ Available [here](#).

⁴ Available [here](#).

obtained during the first independent review, where they were slightly more than 90% with similar answers. No respondent indicated that they disagreed with this statement;

(c) To the question “How relevant the activities/interventions of the CTCN were/are to your country’s context and needs for support” 63% of beneficiaries indicated “very relevant” or “rather relevant” and only 6% “irrelevant”. Responding NDEs were more positive, but also more contrasted as 85% answered “very relevant” or “rather relevant” and 13% “irrelevant”.

11. The gap between NDEs’ and beneficiaries’ perception could be explained by the fact that NDEs have a more global understanding of a country’s needs. Moreover, although CTCN services are demand driven, NDEs could be required to adapt to some level country’s demands to CTCN framework.

12. Following the entry into force of the Paris Agreement, the CTCN also started to work more closely in relation to country NDCs in order to further support the implementation of the Paris Agreement. The CTCN continues to design and implement technical assistance at the request of developing countries in line with their NDCs as its principal implementation activity: to be eligible, requests need to explicitly demonstrate alignment with national plans and NDCs, as formalized in the technical assistance request form.

13. Nevertheless, only 52% of responding NDEs, 36% of responding Consortium Partners, knowledge partners and Network Members and 36% of responding beneficiaries consider that the CTCN contributed to the implementation of country’s NDCs.

4. Collaboration and complementarity with the TEC

14. In several decisions, the COP requested the CTCN to enhance its collaboration with the TEC.⁵

15. From collected information, the reviewer can conclude that over the years, collaboration between CTCN and the TEC improved, both at strategical and operational level.

16. At operational and technical level, CTCN and TEC work together to adapt their programs to integrate a set of common/joint activities as requested by the COP. In 2020, the two bodies also implemented the monitoring and evaluation system and conducted outreach to NDEs to contribute to the process of monitoring and evaluating the impact of the TEC and CTCN activities through a joint survey.

17. Also, the CTCN and the TEC have increased sharing of information through their secretariats on their work, notably on identification of needs, gaps, challenges and enabling environments related to endogenous capacity, analysis of enablers for and barriers to technology development and transfer, and incorporation of gender considerations.

18. The TEC and the CTCN ensured coherent communication through virtual means, their representatives participating in each other’s meetings and events, and organizing, or participating in, joint events, including the TEC and CTCN deep-dive sessions at G-STIC 2020 or The Technology Mechanism virtual event at the UNFCCC Climate Dialogues 2020 for example. Also, TEC and CTCN jointly organized in August 2020 four virtual regional Technical Experts Meetings on Mitigation on climate-smart cooling solutions for sustainable buildings for stakeholders in Africa, Asia-Pacific, Eastern Europe and West Asia, and Latin America and the Caribbean.

19. At strategical level, continuity of collaborative practices observed in the first review, such as the participation of the TEC Chair and Vice-Chair to Advisory Board meetings of the CTCN, are still in place. To support the implementation of joint activities, the 2021 Annual Operating Plan suggests establishing a joint taskforce composed of the Chairs and Vice Chairs of the TEC and CTCN Advisory Boards and opened to other members of the TEC and CTCN.⁶ The joint taskforce will lead on the execution of all agreed joint activities and is responsible for further elaborating on the scope of each joint activity, including the timeline.

⁵ Decisions 25/CP.19, 1/CP.21, 12/CP.21, 15/CP.22, 13/CP.23, 15/CP.23, 13/CP.24, 14/CP.25.

⁶ Section IV, Proposed CTCN Annual Operating Plan and Budget – 2021.

Also, the task force may establish an internal arrangement to effectively carry out the work. Finally, the UNFCCC and CTCN secretariats will facilitate the work of the joint taskforce by organizing the work and preparing the documentation.

20. Questioned stakeholders observed increased sharing of information and exchange of technical data across different areas of work between the two secretariats. However, several interviewees have also reported that room for improvement remains. For instance, TEC policy briefs could have been used by countries to help identify priorities and develop request for technical assistance from the CTCN to a greater extent: as of 2020, 65% of NDEs who answered the UNFCCC Technology Mechanism NDE Survey did not use TEC products to prepare technical assistance requests for the CTCN. This is mainly explained by the lack of NDEs awareness about TEC activities in that matter. It corroborates testimonies of different interviewed stakeholders who regret the lack of clarity and outreach of TEC's Terms of Reference and mandate.

5. Cooperation with the Financial Mechanism

21. While no cooperation activity was integrated into the first PoW, the second PoW identifies three actions to be taken by the CTCN with such intended outcome:

(a) “Events and Workshops will be convened that connect NDE with UNFCCC climate focal points with focal points for the GCF and GEF.” For instance, GCF and CTCN have organized parallel regional meetings for national designated representatives of both GCF and CTCN to exchange updates and identify areas to work together (e.g. meetings were organized in Tonga, Indonesia and Georgia). However, CTCN's NDEs cooperation with GEF's OFPs, and to a lesser extent (thanks to the increased number of CTCN readiness projects) remains at a low level due to different strategic views and limited interpersonal knowledge (partly due to administrative turnover).

(b) “Technical Assistance will be undertaken and funded by the GCF Readiness and Preparatory Support Programme.” Six CTCN Technical Assistance projects funded through GCF Readiness and Preparatory Support are now completed or near completion (Ghana, Tonga, Myanmar, Bahamas, Mauritius, Palestine). Other Readiness proposals were approved in 2019-2020 (13 in Africa, 4 in Asia) and 12 additional ones from Africa and Latin America are in the pipeline for 2020-2021. As reported by the GCF,⁷ the CTCN is also now the largest provider of GCF readiness support for technology. The CTCN also engaged with the GEF through the integration to GEF-5 MSP of TAs within the UNIDO project for Promoting Accelerated Transfer and Scaled up Deployment of Mitigation Technologies through the CTCN.⁸

(c) “Capacity Building, including the Vision to Concept approach developed by the CTCN, will train project developers to prepare climate technology-related submissions to the GCF.” Indeed, among the reasons why the CTCN was preferred is the capacity building of local institutions through CTCN's mandatory engagement of local institutions by Network

⁷ GCF. 2021. GCF Support to Climate Technologies - 17th Meeting of the Advisory Board to the CTCN. Available [here](#).

⁸ Technical Assistances within the CTCN GEF Pilot include:

- Chile – To support the replacement of F-refrigerants used in refrigeration system in food processing production and exports (fruits and vegetables)
 - Dominican Republic – Development of Advanced energy-efficient lighting technologies
 - ECOWAS – Mainstreaming gender for a climate resilient energy system in West Africa
 - Gambia - Recycling of organic waste for energy and smallholder livelihood
 - Paraguay – Environmental flows and river basin management for the Tebicuary river
 - Viet Nam – Bio-waste minimization and valorization for low-carbon production in rice sector
 - Zimbabwe – Piloting rapid uptake of industrial energy efficiency and efficient water utilization in the industrial sector
 - Uganda – Formulating geothermal energy policy, legal and regulatory framework
- UNIDO project for Promoting Accelerated Transfer and Scaled up Deployment of Mitigation Technologies through the CTCN. Available [here](#).

implementers, as well as dedicated GCF comments-addressal system in the CTCN through dedicated experts.⁹

22. Additional steps have been taken by the CTCN towards collaboration of the Technology Mechanism with the Financial Mechanism following the two related recommendations:

(a) Encourages the CTCN to continue exploring with the GEF and the GCF how to further facilitate provision of sustained funding for CTCN activities, in line with their assigned mandates;

(b) Encourages the CTCN, the GEF and the GCF to enhance operational linkages.

23. In response to those recommendations, the CTCN implemented the regional approach, which brought a closer alignment with GCF structure and enhanced coordination with other important focal points (GEF/GCF/etc.). Forums took also place, strengthening linkages among technology and financial focal points. Finally, the CTCN experiences gradually smoothing collaborative modalities with GCF in general.

24. While the 2018 and 2019 Annual Operating Plans confirmed the engagement of the CTCN towards general collaboration, only one concrete action is identified in the 2018 Annual Operating Plans: Replicate the workshop on ‘Mainstreaming Technology in Climate Action Plans’ in other sub-regions in order to bring together the national focal points of climate initiatives such as the CTCN, GCF, and GEF as well as officials responsible for country TNAs, NAMAs, and NAPs to discuss country priorities and strengthen synergies to accelerate technology transfer.

25. The 2020 and 2021 Annual Operating Plans, reiterate CTCN intentions formulated in the PoW to organise “Events with NDEs, UNFCCC, GCF, GEF, and Adaptation Funds’ focal points, as well as Network Members to enhance collaborations as well as” “Secure financial resources from bodies under financial mechanism”. Also, “Technical support to developing countries for facilitating access to financing” and “capacity building to increase capacity of countries to access financing in support of climate technology priorities” could include activities aiming at with the operating entities of the Financial Mechanism.

26. The CTCN has also supported seven countries through the NDC Partnership Climate Action Enhancement Package. Some funds have been provided to the CTCN for technical assistance implementation, and the CTCN will co-finance, and in some cases fully cover, the remaining individual technical assistance costs.

6. Financial and operational linkages between the Technology and Financial Mechanism

27. Financial linkages with the GEF and the GCF can be synthesised as follows:

(a) The contribution of the GEF have been limited to the one received in 2015 (USD 1 971 000) as part of GEF-5. In 2020, the CTCN successfully bid to deliver on GEF Adaptation Program and was selected as a grant recipient of USD 677 000;

(b) In total, USD 6 657 975 were received from the GCF during the period 2017 – 2020, with an important increase in contribution in 2020.

28. Operational linkages with the Financial Mechanism continue to grow, as evidenced by the ramping-up of the partnership with GCF Readiness and Preparatory Support Programme, with the GEF pilot programme on innovative financing for adaptation technologies in medium-sized cities, as well as the new collaboration with the Adaptation Fund for the USD 10 million joint CTCN–UNDP Adaptation Fund Climate Innovation Accelerator (UNEP-CTCN and UNDP administrate USD 5 million each).¹⁰

29. No specific target related to collaborating with the Adaptation Fund was set at the time the Resource Mobilization Strategy was elaborated, in the extent that the CTCN was having weak linkages with the Adaptation Fund back then. In 2020, the CTCN also collaborated with the Adaptation Fund and the Paris Committee on Capacity-building to

⁹ See [Introduction to the Linkages with Financial Mechanism \(ctc-n.org\)](#).

¹⁰ CTCN. 2020. Joint annual report of the TEC and the CTCN for 2020. Available [here](#).

launch an adaptation and capacity-building newsletter at COP 25. The quarterly e-newsletter compiles information from bodies and organizations on adaptation related training, publications, workshops and webinars for those engaged in strengthening resilience to climate change.

30. Considering operational relations with the GCF, increased collaboration and better communication between their secretariats have been noticed at the upstream level. It is mainly epitomized by the ramping-up of the partnership with GCF Readiness and Preparatory Support Programme through which the CTCN provides services and expertise in response to developing countries' requests utilising GCF country resources. Indeed, one can observe the following:

(a) Since 2017, the GCF and the CTCN have partnered under the GCF Readiness and Preparatory Support Programme: the CTCN provides services and expertise in response to developing countries' requests using GCF country resources. The CTCN accessed USD 5.9 million for implementing 17 GCF readiness projects between 2019 and 2020, 7 of which are complete or near completion. The CTCN contributed to the development of 12 GCF readiness proposals by countries in 2020 and will access USD 4.6 million for their implementation, pending approval of all submissions.

(b) Regular communication also take place to create synergies on capacity-building and knowledge management (many resources from other UNFCCC agencies are available on the CTCN website), as well as to make sure there are no replication of projects (in the case of countries making requests to different UN entities).

(c) The new liaison office in South Korea is deemed to be a good opportunity to enhance collaboration between the GCF and the CTCN,¹¹ but room for stronger coordination remain between national focal points of the CTCN (NDEs) and the ones of the GCF (NDAs).

(d) Nonetheless, it has also been stressed that contributions from GCF Readiness Programme contributions might not a viable solution for the CTCN on the long term for two main reasons:

(i) GCF contributions do not sustain the operational budget of the CTCN, which is where the inherent funding difficulty is.

(ii) It also brings the risk of the CTCN becoming a "contractor" of the GCF. Their relationship is thus improving but must remain balanced: the CTCN should keep its freedom (specifically on the groundwork) while the GCF could utilize the outcomes of CTCN interventions to allow governments to subsequently implement bigger projects.

31. Regarding operational relations with the GEF, as pointed by most of the interviewees, tangible collaborations (beyond formal communications) between GEF's OFPs and CTCN NDEs are deemed to be problematic. This can be further evidenced by the results of the survey conducted by the CTCN mid-2018, where 64% of the 69 responding NDEs stated that they do not have information regarding the GEF portfolio in their respective countries, while 60% recognized that they did not participate in the GEF portfolio formulation exercise in their country.¹² In July 2019, the CTCN admitted that they were "not aware of any activities that might have been undertaken by the GEF to support in-country collaboration to implement relevant guidance from the COP."¹³ The main operational impediments for GEF and CTCN to collaborate are the following:

(a) The GEF do not advocate for specific constituencies: it has no power in deciding how the countries program their money, as it is not the GEF money but the recipient's money;

¹¹ Report from the CTCN Advisory Board Taskforce Meeting (held 30-31 March 2020).

¹² CTCN. 2018. CTCN Input on the collaboration between GEF focal points and the national designated entities for technology development and transfer – Decision 10/CP.23, para. 13 (a). Available [here](#).

¹³ Radka. 2019. Collaboration between GEF focal points and national designated entities - Letter to the GEF. Available [here](#).

(b) The CTCN is not a recipient country nor a donor country, so it cannot engage the same way countries do with the GEF, it cannot speak up on the needs of countries. The CTCN must engage with the countries first and then request the GEF for funding having the endorsement of the countries (beneficiaries do not need to be the GEF focal points);

(c) GEF replenishment process is completely apart from the UNFCCC process;

(d) People speaking at the GEF council and the one negotiating under UNFCCC are not the same. There is a need for more consistency/collaboration within each country under these two frameworks;

(e) Double-charging issue: when CTCN is financed through the GEF, the procedure entails a duplication of fees because they are considered by the GEF as an Executing Agency. The GEF has 18 Implementing Agencies and the CTCN is not one of them, so countries get charged if implementing the project with the CTCN.

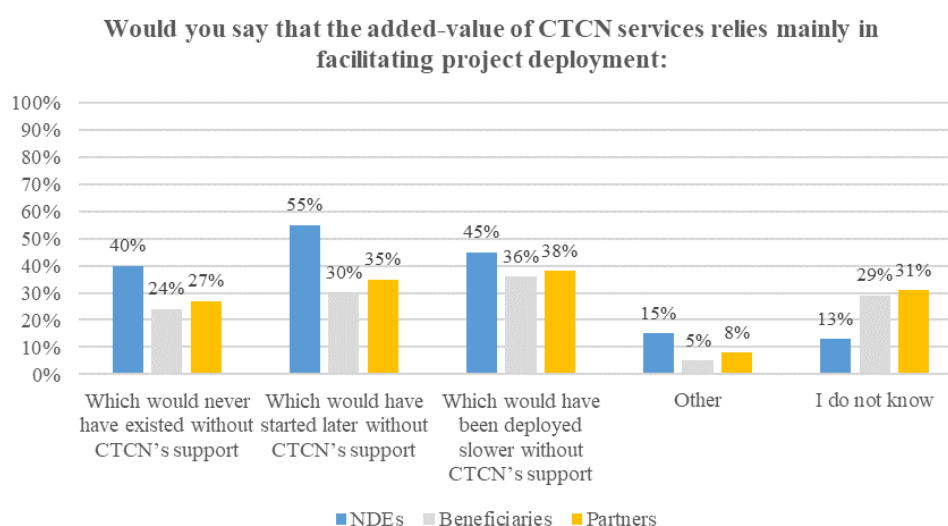
7. Links with other related climate support programs and added value of the CTCN

32. To the question “Why did you request technical assistance from the CTCN?” of the electronic survey, 58% of the responding beneficiaries indicated that the CTCN’s focus on climate change technologies was well aligned with their own objectives, and about 30% of them had been looking for such technical assistance for a long time without finding an adequate programme. Those figures are almost identical to the one observed during the first review.

33. As presented in Figure 3, stakeholders’ feedback suggests that technical assistance projects might have been implemented through other funding sources (deadweight effect). However, they also seem to reckon that projects started and were deployed faster thanks to CTCN intervention.

Figure 3

Value-added of CTCN according to NDEs, beneficiaries and Consortium Partners, knowledge partners and Network Members (Source: EY)



34. When asking NDEs and beneficiaries if they could identify other organizations that provide similar services, most of them either answered that they could not identify any organization like the CTCN, or listed organizations related to the CTCN, such as UN bodies (e.g. UNEP, UNIDO, UNDP, FAO, GCF, GEF). Some also listed multilateral and bilateral development banks (ADB, AfDB, IDB, World Bank, and JICA), international organizations (IEA, IRENA, Global Green Growth Institute, NDC Partnerships / World Resources Institute), development organizations (e.g. UK Department for International Development, AFD, GIZ, USAid) and EU development programs (Euroclima+).

35. Like the CTCN, PSP regional centres have been operating as climate technology project accelerators and their activities often include TA for scaling up the investment in and

technology assessment of climate technologies for climate change-related projects. However, no competition between the CTCN and regional centres has been observed on the ground as demand has proved largely enough for them to co-exist.

36. There has been sporadic collaboration between the CTCN and the PSP regional centres on different fronts, notably on:

- (a) Exchange of information on implemented activities by the different parties;
- (b) Project origination (e.g. The ACTFCN pipelines have been shared, and TA requests in areas that are not covered by the ACTFCN will be transferred to the CTCN. The IADB supports CTCN identifying relevant opportunities. Also, the FINTECC reviews all requests received by the CTCN from EBRD countries of operation and provides input where possible.);
- (c) Events (e.g. hosts MDBs have participated to some CTCN Regional Forums);
- (d) Network (e.g. The association of IADB with CTCN Consortium Partners - the Bariloche Foundation and the Tropical Agricultural Research and Higher Education Center - contributes to its objective of supporting the operations of the CTCN and facilitates coordination of their efforts and activities.).

37. The possibility of providing joint support to some countries is also being assessed (e.g. joint advisory project in the Balkans with FINTECC).¹⁴

38. However, despite those collaborative activities, interviewees mentioned a rather limited overall cooperation. The Updated evaluation of the Poznan strategic programme on technology transfer explain that there have been very few specific opportunities for the CTCN to provide TA services in the context of the pilot regional centres and that no specific efforts to collaborate capacity building programmes have been made. It argues that “beyond attending meetings and exchanging ideas on project proposals, and a few cases of the CTCN providing TA for a bank project, synergies were not explored more systematically.” Coordination and collaboration between the CTCN and the regional banks on the PSP regional centres has generally been ad hoc and limited to information-sharing. There have been very few specific opportunities for the CTCN to provide TA services in the context of the pilot regional centres, and no specific efforts to collaborate capacity building programmes have been made.

39. Even if some institutions, such as the IDB, have partnered with a range of developed country institutions at the regional level in an effort to ensure the continuity of programming after the PSP funding in GEF-5 ends, most regional centres will stop their activities when GEF funding comes to an end. MDBs seem however willing to guarantee the continuance of the regional centre efforts beyond the implementation of the PSP. They also expressed the interest in strengthening the links with the CTCN. MDBs redefinition of their approach on climate technology investments represents a good window of opportunity for them and the CTCN to reimagine their collaborative efforts. In November 2020 a dialogue was held between the GEF, the regional centres and the CTCN to identify lessons learned and opportunities for further collaboration. Stakeholders agreed on “the need to strengthen linkages between the CTCN and the regional centres; regularly exchange information on respective project pipelines; and draw on the CTCN as a resource for the regional centres’ capacity-building activities”.

40. It also observed “the need for and benefits of long-term engagement with national focal points, including NDEs, institutions and stakeholders overall, and the importance of capacity development support, identified in relation to three of the pilot regional centres”. This advocates for continued engagement and a role for the CTCN through its support of

¹⁴ The Updated evaluation of the Poznan strategic programme on technology transfer (TEC, 2019) also explains that despite the fact that there has been some collaboration between the CTCN and the regional banks (e.g. the CTCN providing TA to EBRD for preparing a financial proposal for fuel-switching in Bosnia and Herzegovina, organizing capacity-building workshops with AfDB, and supporting project preparation for IADB (the latter by CTCN Consortium Partners), these are most likely isolated cases and not necessary linked to PSP programming.

NDEs. Furthermore, it is unclear whether PSP TA services have been readily available to NDEs.

B. Effectiveness

41. Have the objectives of the CTCN been achieved in terms of technical assistance / knowledge management, peer learning & capacity building / outreach, networking and stakeholder engagement?

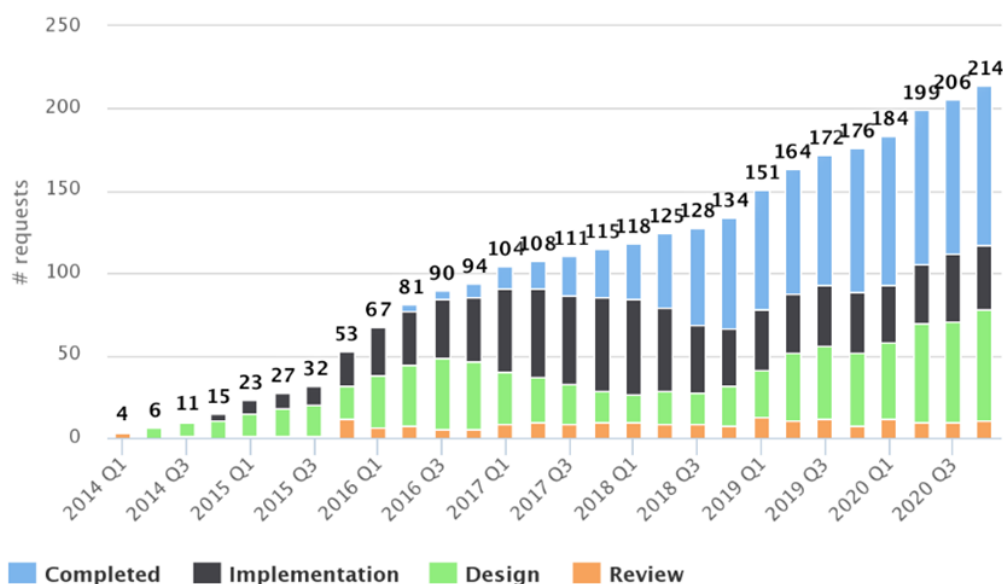
1. TA requests

42. Between 2014 and 2016, the number of requests with response plans under design kept increasing (Figure 4). After 2016 however, the trend varies and between 2017 and 2019 the number of requests with response plans under design fluctuates between 30 and 50 per year. Since 2019, however they increase again.

43. No information is yet available on the achievement of the objective of 30 requests received per year formulated in the 2019 CTCN Performance Measurement Framework.

Figure 4

Requests by stage (full history) (Source: CTCN, 2021)



44. It is noted that yearly target outputs decreased between 2017 and 2019: it went from 50 – 70 to 30 – 40 for TA response plans under design, and from 40 – 60 to 25 – 35 regarding TA under implementation and concluded (Table 7).

Table 7

Technical assistance in response to country requests (Source: CTCN / EY analysis)

| | 2017 | | 2018 | | 2019 | |
|--|----------------|----------|----------------|----------|----------------|----------|
| | Target Outputs | Realised | Target Outputs | Realised | Target Outputs | Realised |
| TA requests with response plans under design | 50 - 70 | 31 | 50 - 70 | 51 | 30 - 40 | 40 |
| TA requests under implementation and concluded | 40 - 60 | 75 | 30 - 50 | 78 | 25 - 35 | 41 |

45. Section A on relevance showed that TAs were relevant to developing countries' needs. This corroborates the fact that the CTCN implemented different operating modes to select the right projects, notably selection criteria and NDEs engagement.

46. Selection criteria which are critical in guiding and optimizing the request approval process, are clear and well implemented. This is confirmed by the fact that 80% of the

beneficiaries and 90% of the NDEs who responded to the surveys indicated that the selection criteria were available and clear.

47. Interviewed NDEs and beneficiaries have reported that the submission of a request was almost systematically preceded by several iterations with the CTCN to better frame the request and ensure that it was the most appropriate with regards to country needs and CTCN capacities.

48. Material obtained through interviews and surveys suggest that efficient support is provided by NDEs for TA requests elaboration and that interaction and iteration with the CTCN are useful. For instance, 94% of the NDEs respondents agreed that enough support was provided by the CTCN team during the process and 80% of beneficiaries assert that they received enough support from their NDE representative during the process.

49. Nevertheless, and despite the use of the Incubator program, several interviewees also underlined the fact that some countries lack of capacities and resources to submit qualitative TA requests. Those require bigger resources on project preparation and better definition of needs. Defining and refining the requests submitted by NDEs to the CTCN require deeper analysis needed to find bottlenecks and the TA more effective, which cannot be done by most of the NDEs.

50. The mandate given to the CTCN established that its services should be provided at the request of a developing country Parties. The process and procedures subsequently organize the technical assistance request process starting from the initiative of developing countries. Since CTCN set-up, the CTCN consistently ensured a balanced geographical coverage of beneficiaries, with a focus on LDCs that was reinforced by the Incubator Programme.¹⁵

51. The geographical coverage of technical assistance requests submitted to date matches the mandate given to the CTCN of prioritizing technical assistance towards least developed countries and other vulnerable countries. Moreover, like during the first review, requests are well distributed with regards to the global distribution of Non-Annex I countries and LDCs:¹⁶

(a) 48% (against 44% during the first review) of requests originate from Africa, which represents 35% of Non-Annex I countries;

(b) 27% (against 29% during the first review) from Asia, which represents 29% of Non-Annex I countries;

(c) 19% (against 22% during the first review) from Latin America and the Caribbean, which represent 21% of Non-Annex I countries;

(d) 4% (against 3% during the first review) from Oceania, which represents 9% of Non-Annex I countries;

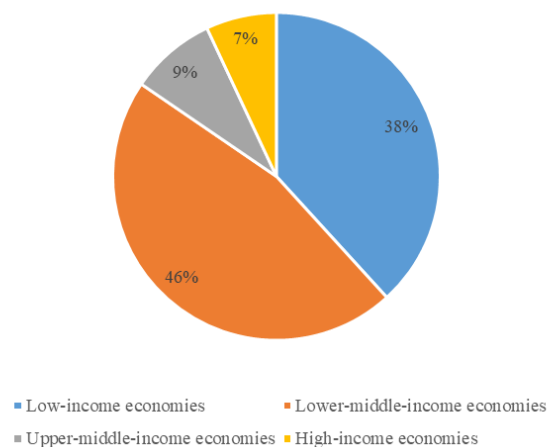
(e) 2% (2% during the first review) from Eastern Europe, which represents 5% of Non-Annex I countries.

52. Figure 5 also shows that geographical coverage of technical assistance focuses no lower-middle-income and low-income economies.

¹⁵ The CTCN particularly supported NDEs of the least developed countries (LDCs) through its Incubator Programme providing specific and intensive training. The Programme was presented at the 4th AB meeting.

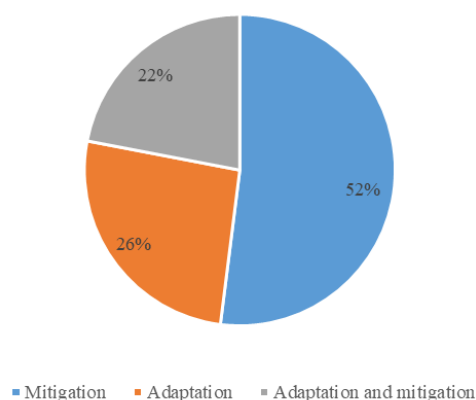
¹⁶ See Request visualizations | Climate Technology Centre & Network (ctc-n.org).

Figure 5
Distribution of requests per level of income (Source: CTCN, 2021)



53. Similarly, to what was observed during the first review, the thematic distribution of requests is rather skewed towards mitigation objectives. Figure 6 shows that more than half of the TA requests aim at mitigation and a bit less than a quarter for adaptation and mitigation.

Figure 6
Distribution of requests by objective (Source: CTCN, 2021)



54. Interviewees have underlined the relevant expertise of the implementing partners. Network Members distribution by type of scheme shows indeed that presence in mitigation (the most represented scheme) is well aligned with distribution of requests (Figure 7).

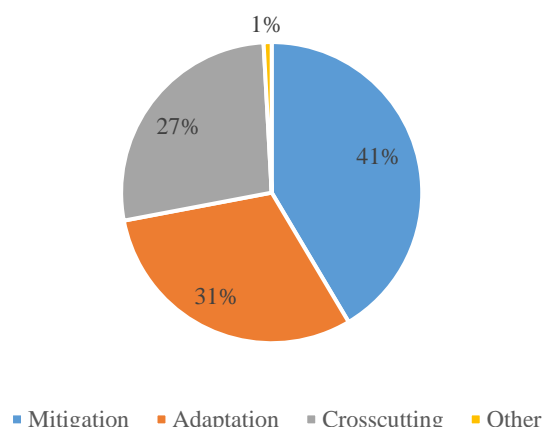
55. However, compared to a relatively high number of TA requests, there is a lower Network presence in:

- (a) Agriculture and Forestry, transport, carbon fixation and abatement (sectors);
- (b) Economics and financial decision-making (cross-sectional enablers);
- (c) Gender, Endogenous technologies (approach).¹⁷

¹⁷ CTCN, Director's update AB/2020/15.

Figure 7

Distribution of network partners according to scheme (Source: CTCN, 2021)



56. With new areas of intervention, such as circular economy and “build back better”,¹⁸ the CTCN covered themes became numerous and diverse. While recognising that it is thereby fulfilling its mandate, some stakeholders get the impression that CTCN has “lost focus”.

57. The main factor of success for TA requests is stakeholders’ interactions particularly the good coordination and communication between NDEs and the CTCN, as well as between NDEs and beneficiaries. The clarity of the CTCN Proposal form and request process has also been mentioned by stakeholders.

58. The main difficulties identified for NDEs are funding sourcing for technical proposal, as well as the lack of support and responsiveness in identifying the implementer. For beneficiaries it is delays in the process as well as the lack of transparency in the selection of the implementer.

2. TA success factors

59. Lee, Wona et al. in the Journal of Climate Change Research retrieved the success factors of TA from the literature and defined under each life cycle of the CTCN TA i.e. the project identification, the planning phase, the implementation phase and the closing phase (Figure 8).¹⁹

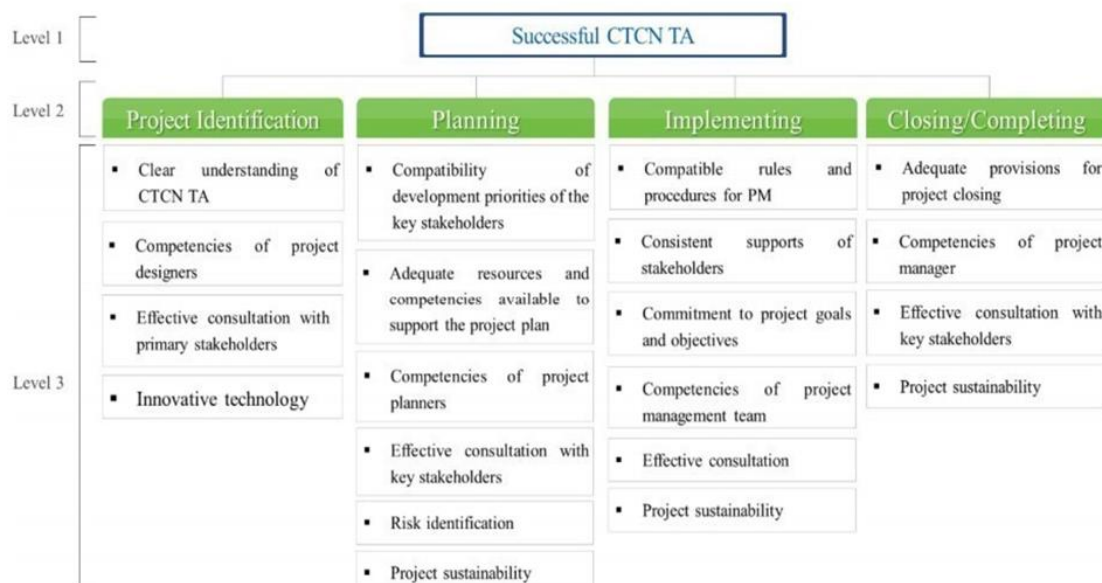
60. The results of the comparison of the critical success factors from two CTCN TA’s life cycle provided by the Korean NDE show that relevant experts were considered the most important critical success factors in each stage. Moreover, the two critical success factors recognized as the most important, “effective consultation” and “project sustainability”, overlap throughout the life cycle; effective consultation being the most important during the project identification/planning phase, and project sustainability being the most important during the implementing/closing phase.”

¹⁸ “Build Back Better” refers to efforts made to build back better climate resilient systems post COVID-19 pandemic.

¹⁹ Lee et al..2020. “What Leads to the Success of Climate Technology Centre and Network Pro Bono Technical Assistance?” Journal of Climate Change Research 2020, Vol. 11, No. 5-1, pp. 353~366. Available [here](#).

Figure 8

Success factors retrieved from the literature under each life cycle of the CTCN TA.
(Source: Lee, Wona et al., 2020)



3. Communication and outreach

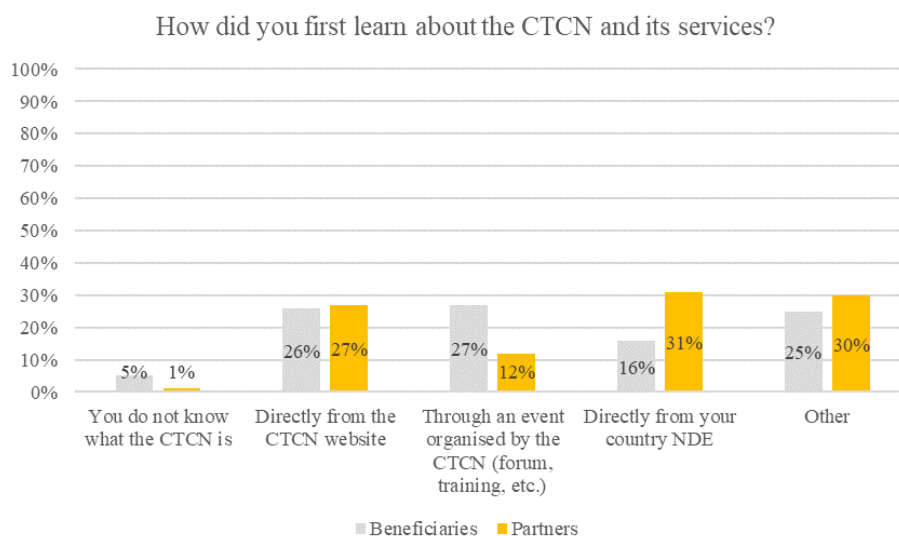
61. The CTCN formulated a communication strategy to address external and internal communication issues in a comprehensive manner. Structured approach and dedicated personnel allowed the CTCN to reach good effectiveness in communication and outreach.

62. Stakeholders agree that CTCN communication approach and outreach is standing at a high level (compared to other UN projects), and that in the last couple of years there were significant improvements in CTCN story-telling, notably around its impacts thanks to the improvements in the M&E and Knowledge Management systems.

63. Several means of communication have been developed, among which brochures, joint annual reports, social media, newsletters and most notably the Knowledge Management System and the website. Figure 9 shows that the website is an efficient tool regardless of the category of actors. It also shows that NDEs have a higher outreach on partners than beneficiaries. Partners' awareness about the CTCN is mainly achieved through events organised by the CTCN. Other means include notably word of mouth.

Figure 9

Answers of beneficiaries and Consortium Partners, knowledge partners and Network Members (here called ‘partners’ to the question: “How did you first learn about the CTCN and its services?” (Source: EY).

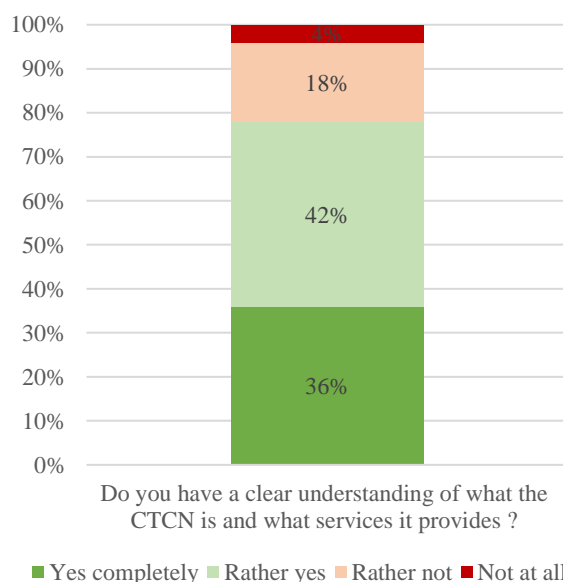


64. CTCN communication strategy has proven effective: it allowed a clear and useful information communication to stakeholders, as well as a broader audience.

65. Figure 10 shows that a majority of beneficiaries (78%) who answered the survey consider having a clear understanding of what the CTCN is and what services it provides.

Figure 10

Beneficiaries’ understanding of what the CTCN is and what services it provides (Source: EY)



66. Nevertheless, according to the Terminal Evaluation of the UNEP-ADB-GEF Project “Pilot Asia-Pacific Climate Technology Network and Finance Center”²⁰ the majority of informants demonstrated difficulty to distinguish between the Asia pilot project and the CTCN, both of which were launched in the same era and managed by UNEP.

67. The information and support given by the CTCN (core team and consortium members) were satisfactory and helped the beneficiaries submitting their requests; 85% of

²⁰ Evaluation Office - United Nations Environment Programme. May 2020.

beneficiaries and 94% of NDEs indicated that enough information was available on the submission process. Those results, similar to those obtained during the first review, are very positive.

68. Considering specifically the efforts put in social media, CTCN performance on social media seems very good relatively to defined objectives. Between January and December 2020, CTCN activities were covered 752 times in global and national media and earned 38 million impressions on social media. Every year between 2017 and 2019, the number of social media followers steadily increases and is every year well above defined target (Table 8).

Table 8

KPIs on social media outreach (Source: CTCN)

| | 2017 | | 2018 | | 2019 | |
|----------------------------------|----------------|----------|----------------|----------|----------------|----------|
| | Target Outputs | Realised | Target Outputs | Realised | Target Outputs | Realised |
| Social Media | | | | | | |
| Number of social media followers | 2 400 | 4 000 | 2 400 | 4 700 | 2 500 | 5 796 |

69. The 2019 CTCN Performance Measurement Framework formulates the objective of 10% increase per year of people reached through social media channels and 30 mentions of CTCN in media per year. These targets were also achieved as shown in the Table 9.

Table 9

KPIs on social media outreach (Source: CTCN)

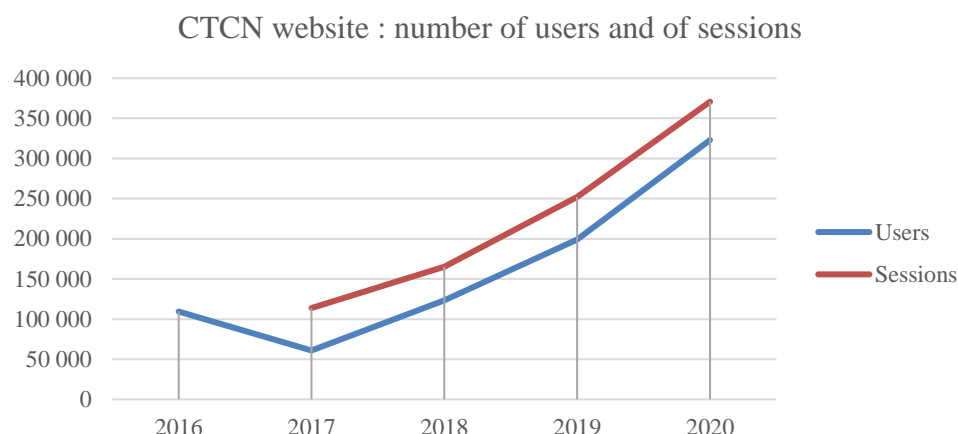
| | Target | 2016 | 2017 | 2018 | 2019 | 2020 |
|---|---------------|---------------|---------------|---------------|---------------|--------------|
| Facebook likes (comparison with N-1) | +10% per year | 1 631 | 2 072 (+27%) | 2 453 (+18%) | 2 876 (+17 %) | 2 937 (+2%) |
| Facebook followers (comparison with N-1) | +10% per year | Not available | Not available | Not available | Not available | 3 176 |
| Twitter followers (comparison with N-1) | +10% per year | 967 | 1 539 (+59%) | 2 270 (+47%) | 2 920 (+29 %) | 3 579 (+23%) |
| Articles contained references to the CTCN | 30 | 80 | 68 | 57 | 86 | 752 |

70. Stakeholders consider that the CTCN website has considerably improved, in terms of clarity and articulation, and appreciate the fact that now information is available in most official UN languages. The fact that 26% of beneficiaries first learned about CTCN and its services directly from the CTCN website, when they were only 9% during the first review, shows the good visibility it reached and good SEO performance.²¹

71. External communication performed through the CTCN website has proven to be efficient to expand the audience as well. Figure 11 shows that the number of CTCN website's users has increased by +195% between 2016 and 2020 and that the number of sessions increased by 226% between 2017 and 2020. Also, 27% (against 20% during the first review) of the Consortium Partners, knowledge partners and Network Members who answered the survey first learned about CTCN and its services directly this way.

²¹ Search engine optimisation.

Figure 11
CTCN website: number of users and of sessions between 2016 and 2020 (Source: CTCN)

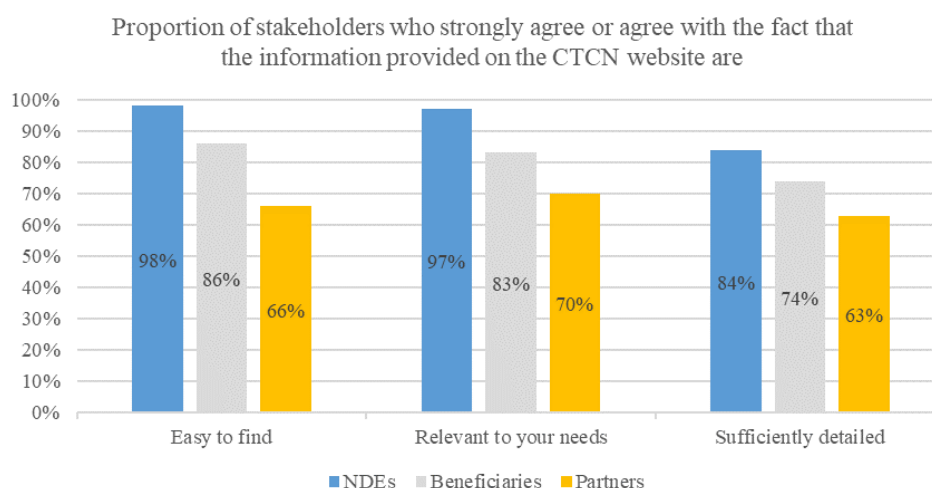


72. The website is reaching the LDCs and other highly vulnerable countries, which are meant to be prioritized to receive CTCN services. Among the top 30 countries who spent the most time on CTCN website:²²

- (a) 1/3 are LDCs;
- (b) Nearly 1/3 are SIDS;
- (c) Africa represents half of the top users;
- (d) Followed by Latin America and the Caribbean and the Asia-Pacific.

73. In general, the perception of the website differs across stakeholder category but remains very positive (figure 12).

Figure 12
Perception of stakeholders of CTCN website by category (Source: EY)



74. The survey hence put light on overall very positive feedbacks on the CTCN website, with similar results as the one obtained during the first review for NDEs and beneficiaries.

75. However, the level of satisfaction of Consortium Partners, knowledge partners and Network Members decreased since the first review. As 89% of them consider information easy to find, 93% consider information relevant to their need and 83% consider information sufficiently detailed.

²² AB16 directors update.

76. Also, some specific remarks were made notably to have spaces dedicated to specific publics:

(a) Dedicated space for NDEs that could be a platform for communication vital information on the CTCN activities and dissemination of information including funding cycles and application processes;

(b) Dedicated 'open-to-bidding TA' and potential projects pipeline page.

77. However, those already exist and are accessible at <https://www.ctc-n.org/network>. It hence seems that the visibility and access to this page should be revised.

4. Technical assistance implementation

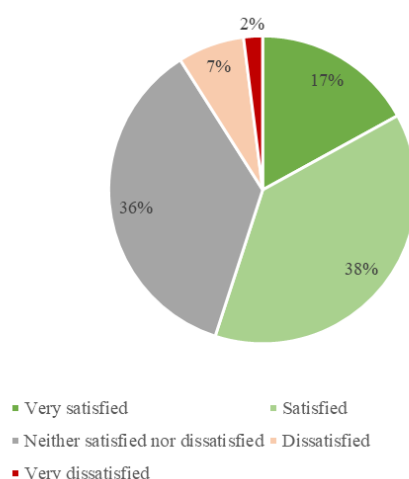
78. Overall, only 55% of the NDEs and beneficiaries who responded to the survey expressed a good level of satisfaction with the TA service (including 17% very satisfied) (figure 13). This is rather low given the fact that they were 79% (including 28% very satisfied) during the first review.

79. This middling result can be nuanced by the fact that the rest of respondents are rather without opinion (36%) than dissatisfied (9%) and that the other indicators, considering specific aspects of TAs, are rather much more positive.

Figure 13

NDEs' and beneficiaries' level of satisfaction with CTCN TA activities (Source: EY)

Overall, how satisfied are you by the CTCN's action in terms of technical assistance (NDEs and beneficiaries)



80. The vast majority of responding NDEs (89%) who already benefited from the implementation of a TA project, agreed that the TA fully responded to their initial request (54% agreed and 35% strongly agreed). These results are rather aligned with those obtained during the first review (53% agreed and 41% strongly agreed). Similarly, 73% of the beneficiaries who responded agreed or strongly agreed that the TA received responded to their initial request (against 71% in the first review). This corroborates with the fact that 77% of the Consortium Partners, knowledge partners and Network Members having participated in a TA implementation agreed that the Response Plan and ToR tendered by the CTCN corresponded to the expectations of the final beneficiaries (against 100% during the first review).

81. 69% of NDEs and 69% of beneficiaries consider that the TA received mobilised the appropriate resources (in terms of capacity and skills of TA providers). Those results are similar to the ones observed during the first review. Some beneficiaries however consider that dedicated budgets do not always consider the reality on the ground and are not necessarily adapted to countries expectations. The main difficulties mentioned by NDEs is the budget and support that they receive.

82. National or local ownership is identified as a factor of success, but at the same time lack of systematic direct engagement of local consultants is also mentioned as a main difficulty by beneficiaries.

83. 75% of the beneficiaries and NDEs that responded to the electronic survey indicated that the TA that they received had been smoothly implemented, with a good communication and cooperation with and among providers. Nevertheless, even if those results are very positive, they are below the ones observed during the first review (where 90% of the beneficiaries and NDEs that responded to the electronic survey indicated that the TA they received had been smoothly implemented, with a good communication and cooperation with and among providers).

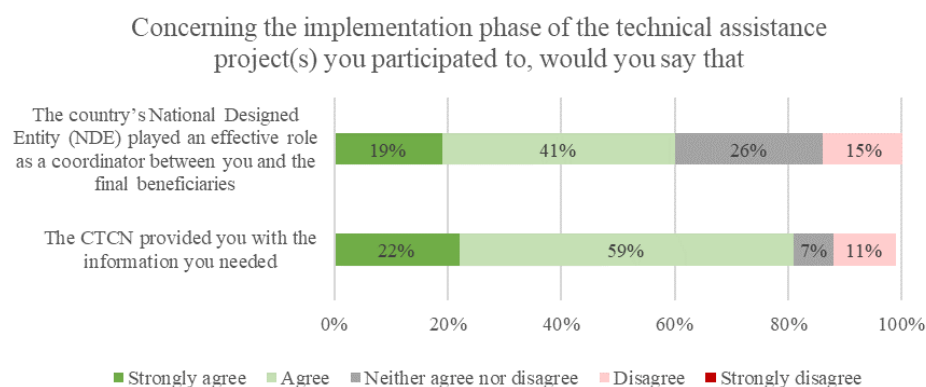
84. Also, while part of beneficiaries and NDEs identify the agility of the CTCN in providing guidance and effectively responding to queries as a factor of success, others brought up as main difficulties a lack of CTCN implication in the follow up of the companies providing TA and monitoring results.

85. Considering partners, they see the CTCN as playing a supporting and quality assurance role while giving the TA providers the opportunity to do their job accordingly with technical criteria: even if more than 10% disagree with this statement, a vast majority (81%) of Consortium Partners, knowledge partners and Network Members who responded to the survey asserts that the CTCN provided the information needed.

86. Results are rather positive when looking at partners perception on NDE's coordination role: 60% of Consortium Partners, knowledge partners and Network Members who responded to the survey asserts that the country's NDE played an effective role as a coordinator between them and the final beneficiaries (figure 14).

Figure 14

Partners' perception on the implementation phase of the technical assistance project(s) (Source: EY)



5. Provision of capacity building, networking events and KMS

87. KPIs provided by the CTCN on peer learning and capacity building show mixed results (Table 10):

- (a) The number of regional forums has been stable between 2017 and 2019, although it has always been under the target or in the low part of the target range;
- (b) 7 virtual forums occurred in 2020 (more than doubled compared to 2019);
- (c) In 2019 the number of thematic programme trainings increased and went above target for the first time;
- (d) National events supported increased in 2019 but did not reach the new target;
- (e) The number of trained NDEs respects the objectives in 2018 and 2019;
- (f) The number of webinars has been decreasing between 2017 and 2019 and remained under the target in the last two years (to date, over 6,000 participants have benefited

from the 141 CTCN webinars and events delivered.). In 2020 the CTCN hosted 11 webinars (non-TA related), which is above 2019 results and 2019 objectives.

(g) The number of new countries enrolled in the Incubator programme decreased to 0 in 2019;

(h) The number of secondees has been stable between 2017 and 2019 and has been reaching the annual target;

(i) Between January and December 2020, the CTCN hosted 26 events throughout the year aimed at enhancing knowledge and awareness of climate technology actions and attracted over 2,000 participants. Due to the COVID-19 pandemic, most events were held virtually, facilitating outreach to a broader range of stakeholders.

Table 10

KPIs on peer learning and capacity building (Source: CTCN)

| | 2017 | | 2018 | | 2019 | |
|--|----------------|----------|----------------|----------|----------------|----------|
| Peer learning and capacity building | Target Outputs | Realised | Target Outputs | Realised | Target Outputs | Realised |
| <i>Regional Forums organized</i> | 6 - 8 | 5 | 6 - 9 | 3 | 3 - 5 | 3 |
| <i>Thematic programme trainings</i> | 5 - 10 | 4 | 5 - 10 | 4 | 10 - 12 | 10 |
| <i>National events supported</i> | 5 - 10 | 6 | 5 - 10 | 4 | 20 - 25 | 16 |
| <i>Number of trained CTCN NDEs</i> | 100 | 75 | 100 | 118 | 80 - 100 | 83 |
| <i>Webinars organized</i> | 10 - 15 | 17 | 10 - 15 | 9 | 10 - 12 | 5 |
| <i>Number of new countries enrolled in the Incubator Programme</i> | 4 - 6 | 5 | 4 - 6 | 5 | 10 | 0 |
| <i>Number of Secondees</i> | 4 - 6 | 4 | 2 | 4 | 4 | 4 |

88. While 13 regional forums were conducted in 2015-2017, Table 10 shows that regional forums organization did not improve particularly.

89. Considering KPIs on outreach, networking and stakeholder engagement, one can observe (Table 11):

(a) A drastic increase in the number of thematic events hosted in 2019 compared to 2017 and 2018. With 30 events that year, the CTCN was well above the target;

(b) A number of private sector engagement events which is higher in 2019 than in 2017 but is under the new target.

Table 11

KPIs on outreach, networking and stakeholder engagement (Source: CTCN)

| | 2017 | | 2018 | | 2019 | |
|--|----------------|----------|----------------|----------|----------------|----------|
| Outreach, networking and stakeholder engagement | Target Outputs | Realised | Target Outputs | Realised | Target Outputs | Realised |
| <i>Number of thematic events hosted</i> | 4 - 6 | 5 | 4 - 6 | NC | 4 - 6 | 30 |
| <i>Number of Private Sector Engagement Events</i> | 3 - 4 | 4 | 3 - 4 | NC | 10 - 12 | 6 |

90. During the first independent review, the CTCN was encouraged to continue raising awareness of its services among developing countries. The solutions implemented by the CTCN were aiming in three main directions:

(a) Participation in regional events (including other than regional forums such as climate weeks): the number of NDEs participating to such regional events is not available.

(b) Exposing CTCN to broader audiences: the exposition of CTCN to broader audiences has already been illustrated with the increase of website and social media outreach

developed previously. No data allow to conclude on the role of capacity building activities and networking events to reach this goal.

(c) Providing opportunities to Network and NDEs to raise profile/interact: the provision of opportunities to Network to raise profile/interact seems to have been effective as:

- (i) more than 60% responding Consortium Partners, knowledge partners and Network Members identified “networking with other actors involved in climate change mitigation and adaptation” as one of the main reasons to join CTCN;
- (ii) more than 60% responding Consortium Partners, knowledge partners and Network Members consider that they “created contacts with new organisations” as a direct result of CTCN services.

91. Considering the provision of opportunities to NDEs to raise profile/interact stakeholders, interviews have shown that NDEs’ interactions are still considered as insufficient. Also 35% of NDE respondents to the survey:

- (a) consider not being enough supported by other national institutions in performing their NDE role (only 34% consider the opposite and 31% have no opinion);
- (b) consider their action as not being enough supported by the private sector in their country (only 34% consider the opposite and 32% have no opinion).

92. Also, stakeholder’s awareness about NDEs role is limited to representatives of UNFCCC-related institutional arrangements e.g. only 44% of responding beneficiaries consider that NDEs function, contact and role are clear, while this figure increases above 75% if one considers answers of beneficiaries who realised TA request at least once.

93. A structural change occurred in the CTCN KMS since the first independent review. Due to need for content management migration in 2019, it focused more on supportive infrastructure and SEO activities, including review and removal of broken pages with resources linked to external knowledge databases. As a result, the content is now more stable, curated and accessible. As shown in the table below, the number of online tools and information material decreased drastically for the sake of clarity and relevance.

94. The number of knowledge partners contributing to the KMS remained stable and within the target range. Moreover, annual numbers of KMS site visits between 2017 and 2019 have been well above target despite a decrease in 2018 (Table 12).

Table 12

KPIs on Knowledge Management (Source: CTCN)

| | 2017 | | 2018 | | 2019 | |
|--|----------------|----------|----------------|----------|----------------|----------------------|
| Knowledge Management | Target Outputs | Realised | Target Outputs | Realised | Target Outputs | Realised |
| <i>Online tool and information material, including coverage of lessons and best practices captured</i> | 11 500 | 16 800 | 11 500 | 17 100 | 3 000 | 16 650 ²³ |
| <i>Number of knowledge partners contributing to KMS</i> | 20 - 30 | 30 | 20 - 30 | 25 | 25 - 30 | 29 |
| <i>Annual number of KMS site visits</i> | 80 000 | 122 957 | 100 000 | 112 000 | 100 000 | 251 516 |

95. 2020 Enabling Environment and Capacity Building results are presented in Figure 15. When available, data shows that every target but one (Number of technology descriptions, publications, national plans, and other information resources made available on the CTCN knowledge platform) has been met.

²³ CTCN. 2019. 2019 Annual Report. Available [here](#).

Figure 15

Enabling Environment and Capacity Building 2020 results (CTCN, 2021)

| Enabling Environment and Capacity Building | | |
|--|---------------|--|
| 2020 AOP Indicators | Target | 2020 Results |
| Outcome 4: Stakeholders have the necessary capacity and enhanced institutional and legal frameworks to develop, deploy and diffuse climate technologies | | |
| 4.A. Number of stakeholders with enhanced technical capacities to develop, deploy and diffuse climate technologies | 450-500 | 2,858 |
| 4.B Anticipated number of policies, strategies, plans, laws, agreements or regulations proposed, adopted, or implemented as a result of the TA (disaggregated by mitigation, adaptation, type) | 10-12 | 11 policies, strategies, plans, laws, agreements or regulations proposed, adopted, or implemented as a result of TAs in 2020 |
| Output 4.1: Facilitation of widespread public awareness on climate technology | | |
| 4.1.a. Number of technology descriptions, publications, national plans, and other information resources made available on the CTCN knowledge platform | 200 | 140 |
| 4.1.b. Number of participants in CTCN webinars | 600 | 1,097 Participants |
| 4.1.c. Total number of CTCN events | 15 | 24 |
| 4.1.d. number of participants attending CTCN events | 2000 | 1,023 |
| 4.1.e. Number of site visits to CTCN knowledge portal | 130,000 | 402,609 |
| 4.1.f. number of people reached through CTCN social media channels | 250,000 | 38 M |
| 4.1.g. Number of mentions of CTCN in media | 30 | 752 |
| Output 4.2: Enabling environments created for the development and transfer of socially and environmentally sound technologies | | |
| 4.2.a. Number of policies, strategies, plans, laws, agreements or regulations supported by CTCN for tech transfer (disaggregated by country, type, adaptation, and mitigation) | * | Data not collected at this time ²⁴ |

²⁴ The source of verification for this indicator is the TA closure reports. In this first year of implementation of the M&E system, this level of data was not accurately captured.

| | | |
|---|------------|---|
| 4.2.b. Number of CTCN training sessions and capacity-strengthening activities | 6 per year | 34 trainings |
| 4.2.c. Number of people trained | 500 | 2,858 |
| 4.2.d. Number of institutions trained | * | Data not collected at this time ²⁵ |
| 4.2.e. Percentage of technical assistance supported with a gender analysis | 80% | 86% |

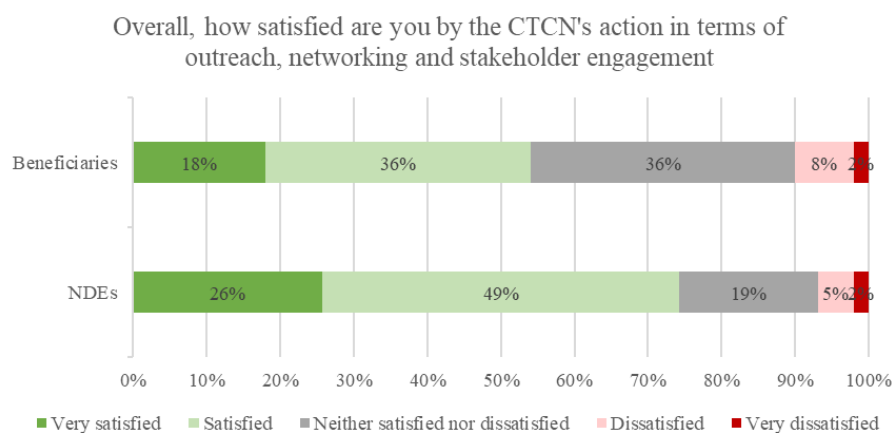
96. The second PoW also formulates the target of more than 90% of workshop/trainings participants reporting increased knowledge, capacity and/or understanding. Due to the restrictions imposed by the Coronavirus pandemic and the virtual nature of the trainings and events organised throughout 2020, this level of data was not accurately captured.

97. No data was found on the achievement or not of the target formulated in the first PoW: 50 to 75 national and sectoral technology plans by the end of 2018. Neither of the second PoW target of 450 to 500 stakeholders with enhanced capacities to develop, transfer and deploy climate technologies per year.

98. As shown in figure 16 and 17, capacity building activities and networking events are perceived very positively by stakeholders.

Figure 16

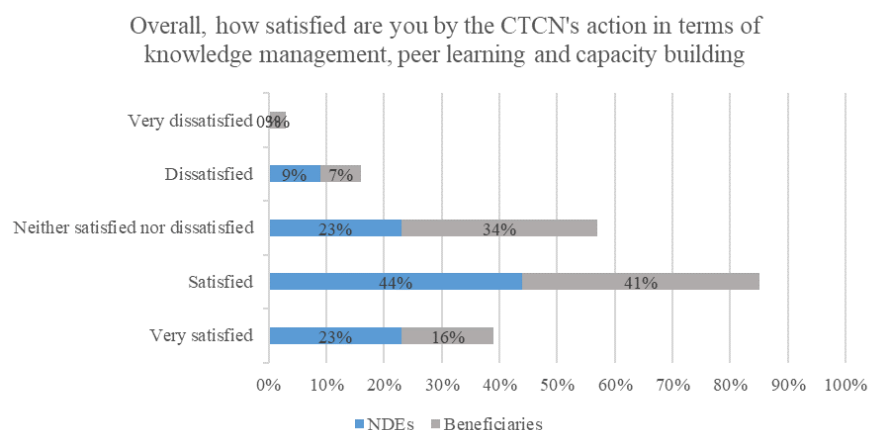
Level of satisfaction of NDEs and beneficiaries regarding outreach, networking and stakeholder engagement (Source: EY)



²⁵ Due to the virtual nature of the trainings organised, this level of data was not accurately captured.

Figure 17

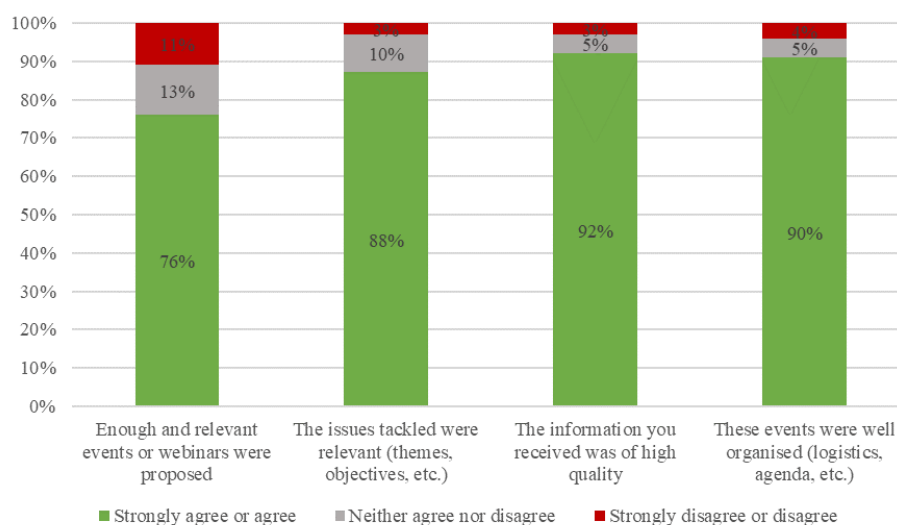
Level of satisfaction of NDEs and beneficiaries regarding Knowledge management, peer learning and capacity building (Source: EY)



99. Like in the first review, NDEs, Consortium Partners, knowledge partners and Network Members, as well as beneficiaries together, largely consider that enough and relevant events or webinars were proposed, issues tackled were relevant, information received was of high quality and events were well organised (figure 18).

Figure 18

Evolution of stakeholders' perception of CTCN events / trainings (NDEs, partners, beneficiaries together) (Source: EY)



100. Areas of improvement identified by stakeholders are the following:

- (a) Workshops are not sufficiently long to get enough time for reflection and learning, as well as interactions;
- (b) There is a lack of translation of content;
- (c) There is a lack of inter-institutional or sectoral articulation (public sector, private sector and non-profit organisations).

6. Elaboration of the M&E system

101. Challenges of building the M&E system include the following:

- (a) The biggest challenge consists in passing from M&E to M&E&L to reflect the learnings.
- (b) second biggest challenge was to get every component of CTCN activities into the 5 themes of the second PoW (innovation, implementation, enabling environment and

capacity building, collaboration and stakeholder engagement, support), and dividing the transverse indicators on every level by outputs/outcomes/impacts.

(c) Other challenge was to fully integrate the transformational change of the Paris Agreement.

(d) At the beginning of its operationalisation, on-the-ground implementers were a bit challenged to provide this data, but as it was always part of the implementation process (to give feedback on how the money has been spent) and as they received guidance from CTCN to fill in and review the data (through trainings and webinars), there was no reluctance from implementers to provide such information. The number of indicators was eventually reduced, and guidance were clarified.

102. Elements of improvement regarding the M&E system are the following:

(a) Many lessons learned in this area: before, the M&E system was very much focused on outputs, but it was very challenging to capture the outcomes. There was a lack of tools (such as the M&E guidance to implementers) to adapt CTCN's responses,

(b) The question on how to have more comprehensive information is being addressed in the good direction (along with the 5-years periodic assessment of the Technology Mechanism of the effectiveness and adequacy of support regarding the work of the CTCN).

C. Efficiency

103. Have the objectives of the CTCN been achieved efficiently by the implementation of the CTCN and the deployment of its services?

1. State of Host agreement between UNEP and UNIDO

104. UNEP and UNIDO are legally not co-equal entities (UNEP is the main Host agency while UNIDO is subordinate), but both institutions are accountable to Parties in their ability to host the CTCN. The CTCN is thus working between both agencies (Staff and budgets are split on both sides).

105. Several interviewees (AB members, Donors) reported that the distinct role and actions of each Host Agency are not fully clear. It has been pointed out that the renewed version of the Project Document (as part of the joint agreement between UNEP and UNIDO to host the CTCN) could make the management relationship between both agencies more even while simplifying communication channels and procedures (perceived as too complex and lengthy).

106. Beyond the work related to the CTCN, strategic and operational collaboration between UNEP and UNIDO is functioning well. Host agencies, and notably the UNIDO, have expressed increasing difficulties in engaging with the CTC Secretariat on a consistent basis. The revised version of the Project Document is deemed to provide a stronger and clearer framework on CTCN's management structure (distribution of roles, responsibilities and accountability) and streamline administrative procedures. It is deemed crucial that UNEP and UNIDO maintain the highest standard of a working relationship between them as well as with the CTC Secretariat.

2. Advisory Board

107. In the past years a stronger emphasis on technical issues rather than political ones can be observed with the AB. In 2020, AB members committed in supporting the CTCN on funding-related matters,²⁶ provided guidance on resource mobilization efforts and set up a general taskforce to explore innovative ways of mobilizing and diversifying CTCN resources.²⁷

²⁶ Fifteenth meeting of the Advisory Board - Summary of the Meeting.

²⁷ CTCN. 2020. Joint annual report of the TEC and the CTCN for 2020. Available [here](#).

108. According to interviewees, the AB is rightly sized and its composition well-balanced with regard to several criteria such as developed/developing country balance, representation of the NGO community and representatives of UNFCCC Constituted Bodies. Involving technical experts is also very important to give concrete substance to the meetings.

109. It is stressed that a balance between members who are climate negotiators and those who are not should remain, to the extent that political considerations may impede the quality of the strategic advices given by the AB for the CTCN to deliver on its mandate.

3. CTCN budgeting and spending

110. The comparison between budgeting and expenditure shows that CTCN activities have been underperforming by 25% on average in the past 4 years, with a recent improvement in 2020 (Table 13).

Table 13

CTCN budget, expenditures and funding – 2017-2020) (Source CTCN / EY analysis)

| Year | 2017 | 2018 | 2019 | 2020 | Total |
|-------------------------------|------------------|-----------------|-----------------|------------------|------------------|
| Budget | \$ 13,700 000,00 | \$ 9 110 000,00 | \$ 9 210 000,00 | \$ 10 000 000,00 | \$ 42 020 000,00 |
| Expenditure | \$ 9 614 150,00 | \$ 5 972 138,00 | \$ 6 548 917,00 | \$ 9 309 652,00 | \$ 31 444 857,00 |
| Funding | \$ 6 864 153,48 | \$ 8 292 654,93 | \$ 3 823 964,87 | \$ 12 427 700,25 | \$ 31 408 473,53 |
| Gap - Budget VS. Exp. | -30% | -34% | -29% | -7% | -25% |
| Gap - Funding VS. Exp. | -29% | 39% | -42% | 33% | -0,1% |

111. Before 2020, CTCN was systematically underspending. As shown in table15, in 2020, expenditures were concentrated on TA activities leading to a strong surplus in comparison with dedicated budget (54%). This is outweighed by the fact that other services' expenditures are much lower than their own dedicated budgets resulting in an overall equilibrium.

Table 14

Quantitative information on resource allocation by service areas (first Programme of Work) (Sources: CTCN / EY analysis)

| CTCN Services Areas | 2017 | | | | 2018 | | | |
|--|-------------------|--------------------|--------------------|-------------|------------------|-------------------|--------------------|-------------|
| | Budget (USDs) | Expenditure (USDs) | Gap (USD) | Gap (%) | Budget (USD) | Expenditure (USD) | Gap (USD) | Gap (%) |
| Technical Assistance | 8 300 000 | 6 666 270 | (1 633 730) | -20% | 4 900 000 | 2 369 426 | (2 530 574) | -52% |
| Outreach, Networking & Stakeholder Eng. | 1 200 000 | 627 116 | (572 884) | -48% | 710 000 | 779 291 | 69 291 | 10% |
| KMS, peer learning and capacity building | 1 700 000 | 642 313 | (1 057 687) | -62% | 1 000 000 | 963 179 | (36 821) | -4% |
| CTCN Operations | 2 500 000 | 1 678 451 | (821 549) | -33% | 2 500 000 | 1 860 242 | (639 758) | -26% |
| TOTAL (net of PSC) | 13 700 000 | 9 614 150 | (4 085 850) | -30% | 9 110 000 | 5 972 138 | (3 137 862) | -34% |

Table 15

Quantitative information on resource allocation by service areas (second Programme of Work) (Sources: CTCN / EY analysis)

| CTCN Services Areas | 2019 | | | | 2020 | | | |
|--|------------------|--------------------|--------------------|-------------|-------------------|--------------------|------------------|------------|
| | Budget (USDs) | Expenditure (USDs) | Gap (USD) | Gap (%) | Budget (USDs) | Expenditure (USDs) | Gap (USD) | Gap (%) |
| Technical Assistance | 5 050 000 | 3 044 654 | (2 005 346) | -40% | 4 840 000 | 6 734 100 | 1 894 100 | 39% |
| Outreach, Networking & Stakeholder Eng. | 930 000 | 687 255 | (242 745) | -26% | 1 500 000 | 471 257 | (1 028 743) | -69% |
| KMS, peer learning and capacity building | 830 000 | 681 109 | (148 891) | -18% | 1 260 000 | 1 071 463 | (188 537) | -15% |
| CTCN Operations | 2 400 000 | 2 135 899 | (264 101) | -11% | 2 400 000 | 1 032 832 | (1 367 168) | -57% |
| TOTAL (net of PSC) | 9 210 000 | 6 548 917 | (2 661 083) | -29% | 10 000 000 | 9 309 652 | (690 348) | -7% |

4. Resource Mobilization Strategy

112. As shown in table 16, the target for the core operational budget of the CTCN (from bilateral donors / host agencies) and the expected diversification have not been reached accordingly during the last 3 years.

Table 16

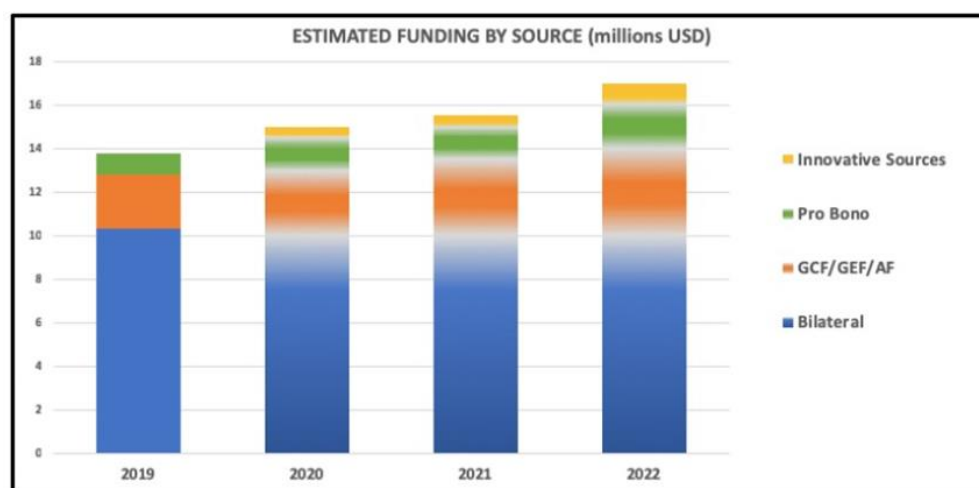
State of the Resource Mobilization Strategy as of 2020 (Sources: CTCN / EY analysis)

| | 2018 | | | 2019 | | | 2020 | | |
|--|-----------|-----------|---------|------------|-----------|---------|------------|-----------|---------|
| | Target | Actual | Gap (%) | Target | Actual | Gap (%) | Target | Actual | Gap (%) |
| Bilateral donors / host agencies | - | 7 254 606 | - | 10 000 000 | 3 623 447 | -64% | 10 000 000 | 6 400 069 | -36% |
| In-kind/pro bono, Financial Mechanism, MDBs | 5 000 000 | 2 715 534 | 46% | - | 620 446 | - | - | 5 889 069 | - |
| Bilateral pro-bono/in-kind support | - | 1 000 000 | - | 2 000 000 | 419 948 | -79% | 2 000 000 | 719 190 | -64% |
| GCF | 1 000 000 | 915 384 | -8% | 4 000 000 | 200 518 | -95% | 4 000 000 | 5 041 923 | -26% |
| GEF | - | - | -100% | - | - | -100% | 1 800 000 | - | -100% |
| AF | - | - | - | - | - | - | - | 650 000 | - |
| NDC Partnership | - | - | - | - | - | - | - | 321 680 | - |
| Other MDBs | - | - | - | - | - | - | - | - | - |
| Private sector / philanthropic / innovative sources | - | - | - | 5 000 000 | - | -100% | 5 000 000 | - | -100% |

113. Figure 19 illustrates the estimated funding for the CTCN to deliver on the Second PoW. Overall, the objectives in terms of budgetary increase have not been met. For instance, the Second PoW was targeting a total funding higher than USD 14 million in 2020, while approximately USD 12.5 million was raised. The expected diversification of CTCN funding sources did not occur as far as initially expected while donors' contributions remained insufficient.

Figure 19

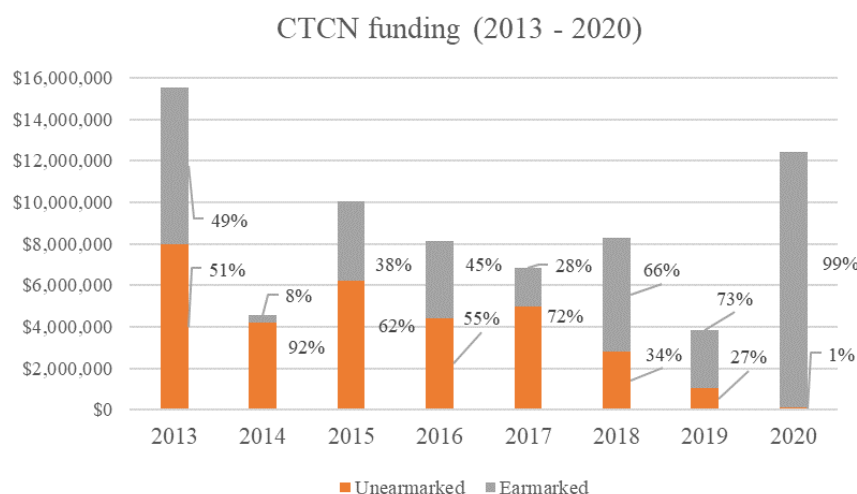
Estimated CTCN funding to deliver the Second Programme of Work over 2019-2022 (Sources: CTCN)



5. CTCN funding

114. The funding of the CTCN is still characterized by a strong proportion which is earmarked on specific activities or geographical areas (figure 20).

Figure 20
Breakdown of CTCN funding since its inception (Sources: CTCN / EY analysis)



6. Reasons of the non-achievement of the “menu approach” (Resource Mobilization Strategy)

115. Interviewees indicated that few foundations can give to the CTCN, as it cannot precisely define the projects in which they could contribute (but rather request money for general technology transfer projects).

Private sector companies would be interested in supporting specific CTCN projects, but hurdles remain in matching the scale of projects that companies are willing to fund (rather large projects) and the small needs of CTCN interventions (up to USD 250,000). Additionally, the due diligence process to establish a funding partnership agreement with a private entity is deemed to be too lengthy to do matchmaking on specific projects. Operationalizing the recommendations from the recent paper released by the CTCN²⁸ will be highly relevant for enhancing short and long-term public-private partnerships.

7. Deputy Director position

116. The term of the Deputy Director position (in charge of resource mobilization, M&E, donor engagement, and partnerships) lasted for two years and ended in December 2020. The initial expectations could not fully be met, but the relevance of a similar position within CTCN Staff have not been questioned by interviewed stakeholders. Clear framework conditions and dedicated resources appear as being crucial for a potential re-appointment of a similar position, which is key for the CTCN to continue improving its capacity to leverage funding from diversified sources and engage with its Network.

8. Role of UNEP and UNIDO in supporting the CTCN in mobilizing funding

117. It was recommended in the first Independent Review that UNEP and UNIDO be engaged in identifying potential sources of additional funding. Improvements and substantial work have been conducted, but the lack of clarity in the institutional logic also limited the commitment of the Host agencies, and thus the collaborative work needed with the CTC Secretariat regarding resource mobilization. More collaborative work based on clearer definition of roles and responsibilities is needed to fully sustain CTCN’s financial resources.

118. UNEP has been working with the Government of the Republic of Korea to strengthen the link between the CTCN and the GCF. It also facilitated the work with MDBs, but work remains to be done at the institutional level.

²⁸ Lee et al. 2021. Public-Private Partnerships for Climate Technology Transfer and Innovation: Lessons from the Climate Technology Centre and Network. Sustainability.

119. UNEP has been able to collect non-earmarked money through the multi-donor trust fund, but still not enough compared to the amount needed for CTCN to operate in full alignment with its mandate. The CTCN would highly welcome more funds to be passed through the UNEP Trust Fund, which also requires administrative procedures to be facilitated.²⁹

120. Both UNEP and UNIDO helped in fostering the dialogue with governments according to the specificities of their institutional relationships (UNIDO worked with Switzerland, Sweden and Japan, while UNEP discussed with the UK, Norway, Denmark, Canada and the USA).

9. Communication and engagement of Donors

121. Despite communications during AB meetings, donors state that they do not have enough means to check on numbers and follow-up on progress made at project-level (e.g. web stream-basis monitoring), and are sometimes subject to hardships in justifying their contributions in front of their national institutions (parliament and ministries). Looking ahead, Donors put large expectations in the operationalization of the revised M&E system, as it will allow enhanced reporting and evaluation of CTCN impacts and further improve accountability and transparency.

122. Donors also suggest that they wish to contribute to the CTCN, not only in providing funds, but also in a more tangible manner (in-kind/pro-bono support). Some lack of willingness/reluctance to collaborate with Donors' delegations have been reported. Donors wish the CTCN to better indicate what kind of support would be helpful for their activities in order to engage in a consistent and useful collaboration.

10. Operationalisation of the regional organisation

123. With the second PoW, a new geographic organization of the CTCN has been implemented. Such organisation, with a single point of contact for NDEs presents several advantages, including stronger communication with NDEs and enhanced support for TA requests. 73% of interrogated NDEs consider that the new geographic organisation deepened the engagement of the CTCN through more integrated delivery of its core services.

124. Prior to adopting a geographic model, stakeholder engagement was predominantly achieved through interaction with NDEs. As part of the geographic model, CTCN teams are deemed to develop and maintain direct relationships with local actors, including with regional banks, co-host offices, regionally active donors and the private sector. Other expected advantages from this organization include:

- (a) Closer to the ground operations and experts, which allows better alignment with regional initiatives and priorities as well as a more cost-effective and time-efficient follow-up of projects;
- (b) Closer alignment with GCF structure and enhanced coordination with other important focal points (GEF/GCF/etc.);
- (c) Better balanced workload;
- (d) Easier implementation of cross-sectional operations.

125. While no major difficulties have been identified in the operationalisation of this new organisation, it has been mentioned that directly sending new regional managers across the globe, notably with the time zone differences, could jeopardize internal communication which is crucial during their integration period.

11. Renewed involvement of Consortium Partners

126. If the CTCN is to sustain the relationship with its Consortium Partners and utilize them to their full remaining potential, it will need to set up improved channels of

²⁹ Report from the CTCN Advisory Board Taskforce Meeting (held 30-31 March 2020).

communication with its Secretariat, as well as between them (to share best practices and ensure no overlaps between their work).

127. The CTCN should ask Consortium Partners themselves how they want to be involved in the delivery of its services. Innovative ways to engage them could be explored, including:

- (a) NDCs renewal projects could be a good opportunity to engage them.
- (b) Consortium Partners have a coordinating / diplomatic / conciliating / mediating role in the geographies in which they operate, and the CTCN could continue to rely on them for their local knowledge.
- (c) CTCN's financial resources are certainly limited, but above all the technical management of requests appear as not sufficient. The Consortium Partners could be more mobilized to assist in that regard.
- (d) Utilizing the research / educational institutes among the Consortium Partners, who are generally less business-oriented than most of the private sector Network Members, would allow the CTCN to be more productive.
- (e) Consortium Partners and Network Members could get more affiliated to build regional hubs along with local NDEs.
- (f) Options to renew their engagement along the value chain of CTCN services:
 - (i) The CTCN do not want the Consortium Partners to respond to the requests when they previously elaborated the countries Response Plans. This appear as a missed opportunity to gain efficiency and productivity in delivering CTCN's services;
 - (ii) Consortium Partners could remain engaged on the ground and keep updating their data (which would be of interest for continuous update on local knowledge);
 - (iii) CTCN could work with Consortium Partners at the beginning of the project to frame the needs according to local specificities (fed by updated data and information which are necessary for framing purposes);
 - (iv) During project implementation, Consortium Partners should be given some space as they have a good knowledge about the countries (technical & political aspects);
 - (v) Consortium Partners could be involved in the ex-post impact assessment with a role of coordinator / evaluator based on their knowledge from the field.

12. Network engagement

128. Overall, Network Members indicated in the survey that they are satisfied with the CTCN in terms of commercial opportunities (58%), connection (60%), visibility (44%) and knowledge (55%). Additionally, the small-scale surveys conducted in September 2018 and March 2019 within the BINGO network listed the following reasons for members to be part of the CTCN Network:³⁰ global networking; local/regional networking; developing technology.

129. However, the survey conducted for this independent review also illustrates the lack of engagement from the members of CTCN's network. Table 16 shows that only 17% of the 117 respondents consider having been very involved in one of the three core services of the CTCN, while 43% were somewhat involved and 39% were not involved.

Table 16

Answers to the question “Overall, how much do you consider having contributed to the CTCN's action since you joined in?” (Source: EY)

| <i>Overall, how much do you consider having contributed to the CTCN's action since you joined in?</i> | <i>Very involved</i> | <i>Somewhat involved</i> | <i>Not involved</i> | <i>Total number of respondents</i> |
|---|----------------------|--------------------------|---------------------|------------------------------------|
| | | | | |

³⁰ CTCN Perceptions: Results of a small-scale survey conducted in September 2018 and March 2019 (referred as the “BINGO network small-scale survey”). Available [here](#).

| | | | | |
|---|------------|------------|------------|-----|
| Outreach, networking and stakeholder engagement | 16% | 49% | 35% | 118 |
| Knowledge management, peer learning and capacity building | 16% | 43% | 41% | 117 |
| Technical assistance | 20% | 38% | 42% | 117 |
| Average on the three core services | 17% | 43% | 39% | |

130. The main reasons for the non-engagement of these Network members can partly be explained by the following aspects listed in the BINGO network small-scale survey: the advantages of network membership are not clear; it is complicated to become a member (membership application) and the bidding system itself is onerous.

131. The CTC Secretariat is fully aware of the room for improvements regarding the involvement of its Network and has been working on it for the past two years. Following a Network-wide survey conducted in 2019, a dedicated AB Taskforce was set up in 2020 to find ways to enhance network engagement and suggested a set of short- and long-term actions (referred to as a Network engagement plan).³¹ Their operationalization is to take place in the coming years. Short-term actions include increased online communication with network via software programme, new targeted events for best practise sharing and matchmaking, learning opportunities and partnerships, as well as the alignment of network activities with the CTCN communication strategy. Proposed long-term actions for network engagement include the provision of further non-TA opportunities, identification of gaps in membership for targeted recruitment, simplification of the technical assistance bidding process. The CTCN also initiated a set of new tailored activities where members can offer expertise and benefit from collaboration (e.g. targeted webinars, technology clinics and regional technology briefs).³²

132. Regarding the bidding process:

(a) 82% of members who responded to the review survey participated in a TA tendering process. These results advocate in favour of good members' involvement and activity.

(b) The two main reasons given to explain the absence of participation in the bidding process are the following:

(i) The respondent did not get the information that those tenders were open for participation;

(ii) The compensation offered by the CTCN was too low to consider the TA mission.

(c) Some dissatisfaction with the level of information disclosed related to the evaluation of the offers exists among bidding members. They would appreciate the CTCN to share the evaluation criteria and the score of their respective offer in order to learn what can be improved next. Also, a few Network Members regret that there is no open discussion around budgets. Such information could help partners to better tailor their technical response. Some members also note that the tendering process happen to be too long.

(d) Nonetheless, these results are not a faithful representation of the recent actions implemented in 2020 by the CTCN to improve its bidding process:

(i) The CTCN shifted to a two-stage bidding process for Network members to bid through the UN Global Marketplace. This new bidding process received positive feedback, as it is deemed to have fostered new network membership from developing countries as well as biddings on TAs to increase.³³

³¹ Report from the CTCN Advisory Board Taskforce Meeting (held 30-31 March 2020).

³² CTCN. 2020. Joint annual report of the TEC and the CTCN for 2020. Available [here](#).

³³ Sixteenth meeting of the Advisory Board - Summary of the Meeting.

(ii) Additionally, the CTCN began to regularly provide feedback to Network Members on TA bidding proposals.³⁴

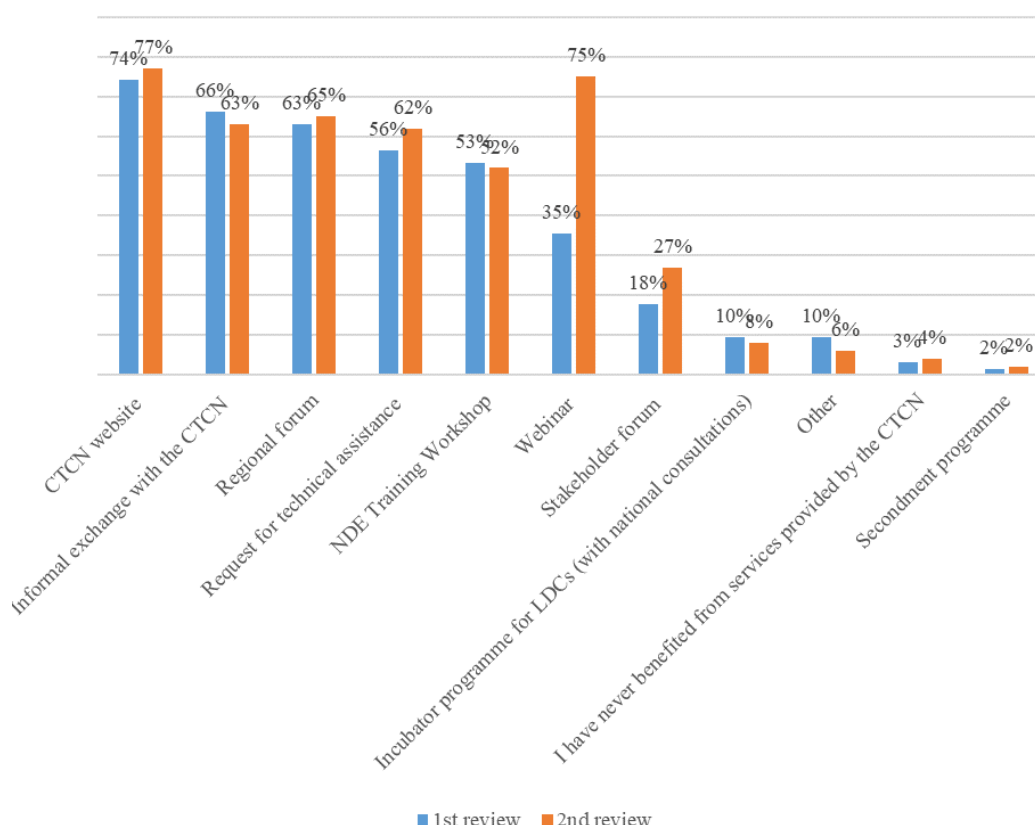
133. Finally, engagement of Network members can also be illustrated by their communications on the fact that they belong to this network (e.g. announcements in the news about new members who claim to have joined the CTCN network). Network Members also happen to support CTCN activities by seconding experts or providing direct access to innovative technology (for example, in India, a Network member is sharing its water harvesting technology with rural farmers to protect their crops from increasingly harsh weather).³⁵

13. NDE's engagement

134. As stakeholders reckon that capacity-building activities are necessary to empower NDEs, the CTCN followed the recommendation of the first independent review to encourage the CTCN to continue training NDEs regularly and facilitating the elaboration of requests through its regional forums and Incubator Programme. Figure 21 shows that CTCN services are used in similar proportion as during the first review, except for webinars whose use have increased significantly. This online format is deemed to be a good channel to push for further capacity-building activities towards NDEs.

Figure 21

Different services provided by the CTCN used by responding NDEs (62 respondents for the 1st review 52 respondents for the 2nd review)



135. Although some interviewed stakeholders mentioned NDEs' turnover as an obstacle to their skill improvement, it is worth noting that almost 50% of the NDEs who answered the review survey have been performing this role for more than 4 years and only 25% for 2 years or less. Moreover, the regional model now implemented by CTCN helps developing direct

³⁴ CTCN. 2020. Joint annual report of the TEC and the CTCN for 2020. Available [here](#).

³⁵ CTCN progress report 2019.

communication and guidance between CTCN and NDEs and as such is deemed as key for NDEs capacity improvement.

136. Despite those different services, only 52% of responding NDEs consider that their action is being supported by the CTC, 16% consider that it is not the case. Some of them regret that they are not supported to participate in the implementation and monitoring of the TA. Other interviewees also identified a lack of communication and outreach, while the language barrier is also a recurring difficulty for some NDEs.

137. Difficulties were also noted in finding the right TA implementer:

(a) Where there is strong capability in a country, the requests will be for more complex assistance which may not be obvious to the selection team of the CTCN. In these cases, it is suggested that the CTCN team come back to the NDE as quickly as possible in order to have a better understanding of the request and make the search for the technical expert quicker and more relevant.

(b) Restrictive criteria regarding the characteristics of the implementer are a difficulty. Some network member cannot respond to the request as expected from requesters.

(c) To further ease, the CTCN should recommend the most relevant delivery partners for supporting developing proposals.

138. NDEs have reported that they sometimes lack support and recognition from their national ecosystem and other UNFCCC focal points. This is mainly due to the fact that NDEs do not have a dedicated budget to undertake their role, and their commitment relies on the willingness of countries and governments to invest time and money in CTCN activities. This is reflected in the survey, where:

(a) 36% of NDE respondents consider that their human resources are not sufficient to perform their role;

(b) 60% of NDE respondents consider that their financial resources are not sufficient to perform their role;

(c) 47% of NDE respondents consider that their equipment or material resources are not sufficient.

139. In the first independent review, NDEs already reported a lack of support and recognition at the national level. Following the recommendation of the review to encourage countries to enhance awareness of their NDE by relevant stakeholders and support their NDE through national institutions and cooperation with other national UNFCCC focal points, CTCN reposted the guidance endorsed by the Board at AB3 for Annex I NDEs and strengthened partnership with UNFCCC country focal points, including for the Financial Mechanism (a series of regional focal points meetings at subregional level (GEF, GCF, TNA, NAMA, etc.) was conducted in 2016/2017 and continued since then, and the connection was made with GEF and GCF proposals).

140. The Regional forums (annual networking events) is a way to raise the profile of NDEs especially since they take place during UNFCCC regional climate weeks. These Fora provide opportunities for NDEs and Network members to share technology experience and discuss cross-cutting topics (e.g. industrial energy efficiency, urban resilience, COVID-19 biomedical waste management and market mechanisms for accelerating technology transfer). In August 2020, the CTCN surveyed Non-Annex I NDEs on NDC updates, and most of them indicated that updates would be completed by the end of 2020. Many solicited CTCN support for developing project pipelines and concept notes for NDC implementation. The CTCN plans to engage with NDEs that indicated that they have no international partners to support this process.³⁶

141. 87% of them consider themselves as clearly identified as the CTCN and UNFCCC technology focal point in their country. However, 34% of NDE respondents consider not being enough supported by other national institutions in performing their NDE role and 34% consider their action as not being enough supported by the private sector in their country.

³⁶ CTCN. 2020. Joint annual report of the TEC and the CTCN for 2020. Available [here](#).

Hence, it seems that there is still a need to raise NDEs profile towards government and private sector. The involvement of NDEs also depends on them being directly linked to their governments and their institutional location, on which neither the COP nor the CTCN have a say. The CTCN could be directly linked with their respective Official Development Assistance to have better complementarity of the program.

142. Interviews also confirmed that stakeholder's awareness about NDEs role is limited to representatives of UNFCCC-related institutional arrangements. For instance, only 44% of CTCN services' beneficiaries consider that NDEs function, contact and role as clear. However, if one considers answers of beneficiaries who realised TA request at least once, this figure increases to above 75%.

143. When asked why they requested TA from the CTCN, 41% of beneficiaries involved in TA requests consider that they were strongly influenced and supported by their country's NDE (against 44% during the first review), 26% were strongly influenced and supported by a partner organisation of the CTCN (against 24% during the first review) and 30% were looking for such TA for a long time (36% during the first review).

14. Cost-effectiveness of Technical Assistance

144. Survey's respondents generally agreed that selection of TA implementers is sometimes too restrictive on budget matters, which goes hand in hand with a perception that budgets allocated to TA preparation and implementation sometimes happens to be too small for the expected results. Nonetheless, survey's answers demonstrated a good level of satisfaction with the projects delivered by the CTCN, as 73% of beneficiaries indicated that the TA they received fully responded to their initial request.

145. During the first review several NDEs and beneficiaries who were interviewed and participated to the survey indicated that the delay between the submission and the start of implementation was too long. Today, 76% of the survey's respondents (NDEs and beneficiaries) indicated that they received an answer to their request in short-enough time (similarly they were 74% in the first review).

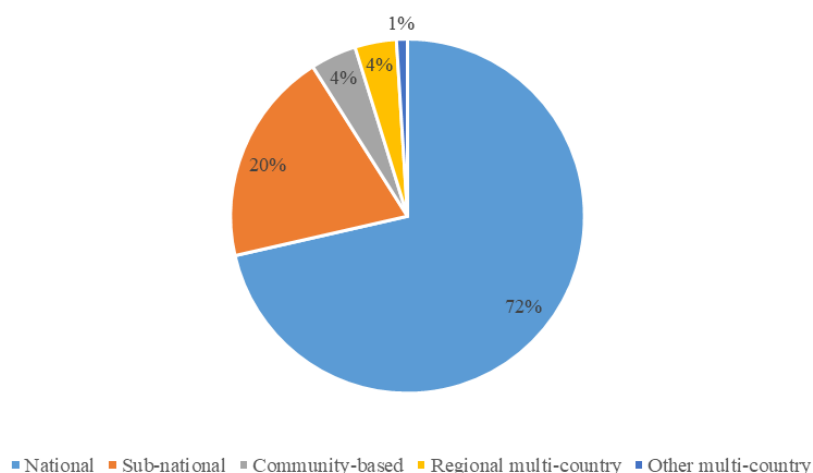
146. The first review encouraged the CTCN, its AB and other relevant actors to undertake actions to increase the efficiency of the CTCN provision of TA. CTCN response to this recommendation was based on a regional approach leading to higher impact through stronger relationships with NDEs, more regional TA requests and potential replication of priority themes among countries with common needs.

147. Regional and multi-country projects were noticed as efficient initiatives to share the costs of technical assistance projects and ensure high transferability throughout developing countries. Multi-country requests, such as those related to biomass energy conversion projects spanning several African countries, have led to economies of scale and wider application of technologies ready for transfer. In 2020, the CTCN identified key trends in TA, particularly at the regional level,³⁷ providing opportunities for replication, upscaling and learning, and subsequent cost-effectiveness improvement. In Asia-Pacific, low-emission transport technologies and work with frontier markets on e-mobility emerged as priorities for programmatic approaches. In Africa, multi-country requests for e-mobility and energy efficiency and GCF requests are high. Finally, in Latin America and the Caribbean, circular economy and NDC partnership requests are at the forefront.

148. Figure 22 shows that multi-country requests remain marginal with only 4% of requests.

³⁷ CTCN. 2020. Joint annual report of the TEC and the CTCN for 2020. Available [here](#).

Figure 22

Distribution of requests by geographical scope (Source: CTCN, 2021)

149. Fast TA were to provide swifter response. In 2019, 22 Fast TA projects were implemented (against an objective set between 25- 40 for that year). Not enough data to date can support how cost-efficient fast Technical Assistance delivery are.

D. Impacts and sustainability

150. Did the CTCN reach its expected outcomes and provide long term positive effects?

1. Innovation and RD&D

151. As already mentioned in the section dedicated to the relevance of its activities, the CTCN did enhance its focus on RD&D, with the second PoW, as well as in its Annual Operating Plans with the integration of the following actions:

- (a) knowledge-sharing activities and online knowledge platform climate technology RD&D;
- (b) promotion of the engagement of countries in RD&D activities through South-South, North-South and triangular collaboration and within selected international initiatives;
- (c) assistance to countries in developing national institutional, legal and regulatory frameworks to encourage climate technology RD&D and uptake.

152. Also, new approaches and actions are being taken:

- (a) The CTCN launched a new concept for supporting development of youth capacity to create climate technology solutions through a series of facilitated workshops, called Youth Climate Innovation Labs, in Africa and Asia. Innovation tools such as design thinking and artificial intelligence were used to engage youth and the local private sector in technology ideation and innovation.
- (b) Supported by the Government of the Republic of Korea, the CTCN is working to establish a liaison office in Songdo with a focus on enhancing the Centre's collaboration with the GCF and work on RD&D.
- (c) The CTCN was selected by the GEF as one of nine organizations to implement its Challenge Program for Adaptation Innovation.³⁸

³⁸ "With a grant of 677 thousand USD, the CTCN will help urban planners in the medium-sized cities of Nelson's Dockyard National Park in Antigua and Barbuda; Chokwe in Mozambique; and Kaysone Phomvihane City in Laos to identify financial tools and mechanisms for financing adaptation technologies and build relationships between municipalities, the private sector, financial markets and infrastructure funds. A project design document is under preparation and will be submitted to the GEF

153. 2020 Innovation results are presented in figure 23. They show that every target formulated was exceeded.

Figure 23

2020 Innovation results (CTCTN, 2021)

| Innovation | | |
|---|---|---|
| Indicator | Target | 2020 Results |
| Outcome 1: Key stakeholders develop, deploy, and diffuse new and existing innovative climate technologies | | |
| 1.A. Number of countries developing, transferring and deploying new and existing climate technologies as a result of CTCN support | 25-30 countries served | 75 countries served ³⁹ |
| 1.B. Number of anticipated cooperative research, development, and demonstration programmes within and between developed and developing country Parties facilitated as a result of CTCN TA | 4-5 matchmaking & pro bono opportunities realized | 8 pro-bono opportunities realised 2 matchmaking events completed (SME technology clinic in Kenya and Tanzania) |
| Output 1.1: Knowledge sharing on climate technology RD&D and new and innovative technologies | | |
| 1.1.a. Number of climate technology RD&D-related knowledge sharing workshops and events [does not include trainings] | 5 – 10 | 12 |
| 1.1.b. Number of participants in climate technology RD&D-related workshops and events (gender- and country disaggregated) | 150-200 | 823 participants |
| 1.1.c. Number of knowledge resources related to RD&D and new and innovative technologies made available on the CTCN knowledge platform | 30-40 | 40 knowledge resources |
| Output 1.2: Countries assisted in developing national institutional, legal and regulatory frameworks to encourage climate technology RD&D and uptake | | |
| 1.2.a. Number of countries receiving CTCN support for national institutional, legal and regulatory frameworks to encourage climate technology RD&D and uptake | * | 23 countries (through 28 technical assistances) |
| 1.2.b. Number of countries with strengthened National Systems of Innovation as a result of CTCN support | * | 0 |

2. National Systems of Innovation

154. The CTCN, in collaboration with TERI, organised in 2018 an expert meeting on NSI. The meeting discussed options for a standardized approach to strengthen NSI in developing countries, in response to the mandate received by the CTCN to undertake further work to strengthen RD&D of climate technologies in developing countries.

155. It was concluded that in response to TA requests, the CTCN could provide support to developing countries on:

Council for endorsement by July 2021.” (CTCN. 2020. 17th Meeting of the Advisory Board to the Climate Technology Centre and Network (CTCN) 2020 Annual Report. AB/2021/17/14.1).

³⁹ Considering all TAs implemented in 2020, including those that started in 2020 (48 TAs) and those that started earlier but with ongoing implementation (61 TAs). If only considering TAs started in 2020 (48 TAs), then it would be 39 countries served.

- (a) Strengthening enabling frameworks (e.g. sector-specific innovation roadmaps; policies that incentivize investments in innovation; standards and certifications for emerging technologies; procurement guidelines);
- (b) Strengthening capacity of “coordinating institutions”;
- (c) Developing technology elements of funding proposals;
- (d) Facilitating stakeholder cooperation (e.g. stimulate the linkages between government, academia, the private sector and research organization/institutions);
- (e) Facilitating twinning arrangements between countries’ research institutions on climate technology innovation.

156. Also, independent of country requests, the CTCN could:

- (a) Develop a methodology to map and qualitatively assess national and regional institutions engaged in innovation;
- (b) Share information related to innovation for climate technology: best practices, tools, costs and performance of specific technologies, etc.;
- (c) Develop indicators to measure innovation.

157. Following that workshop, NSI are for the first time mentioned in CTCN 2020 Annual Operating Plan in which a new KPI, without associated target, (“Number of countries with strengthened National Systems of Innovation as a result of CTCN support”) is formulated.

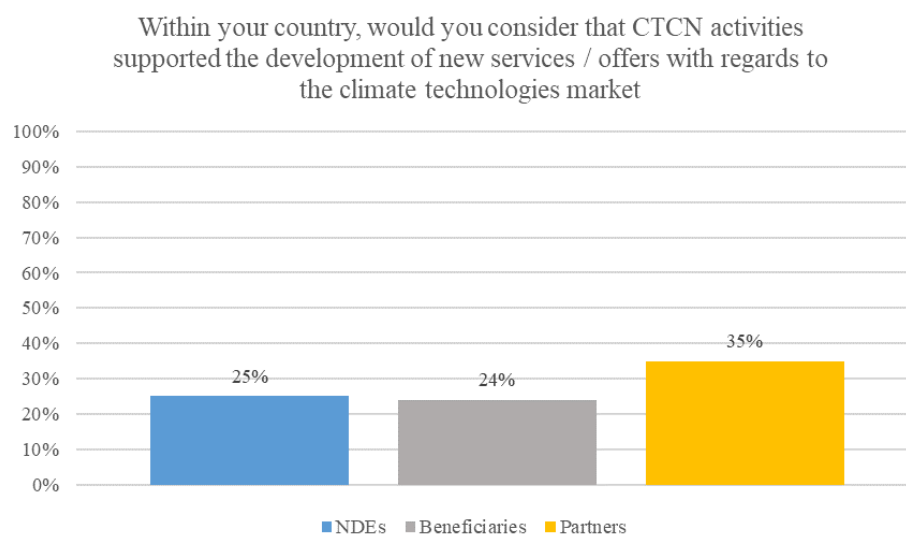
158. 2021 Annual Operating Plan goes further and mentions the fact that CTCN activities focus on delivering, through collaborative efforts and joint activities with existing programmes and initiatives, new and innovative mechanisms for private sector engagement, NSI and collaborative RD&D. Also, in 2021 the TEC is supposed to work on NSI. Activities supported by CTCN under the theme “Innovation” will include TA which “support designing policies, institutional, regulatory frameworks and planning processes on innovation, establishing or strengthening national systems of innovation”.

3. Implementation

159. Stakeholders’ opinion shows that CTCN activities do not support to a great extent the development of new services / offers with regards to climate technologies market (figure 24).

Figure 24

Stakeholders’ perception on CTCN support on the development of new services / offers with regards to the climate technologies market (Source: EY)



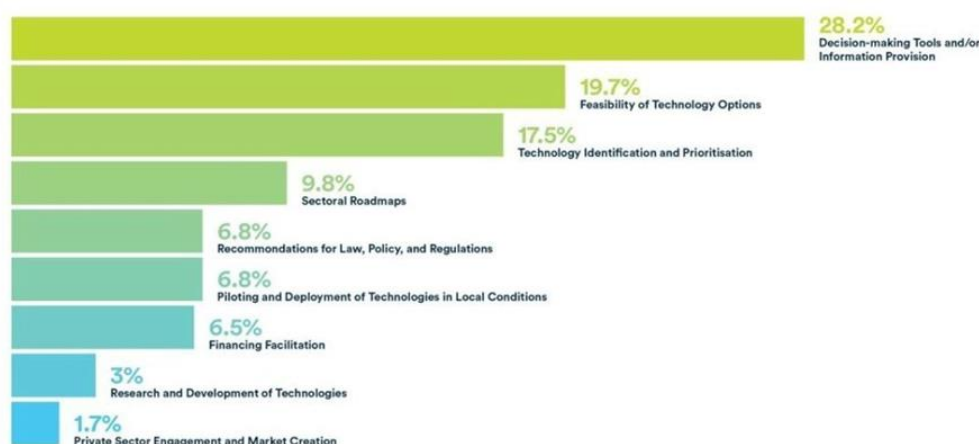
160. Also, only 34% of NDEs, 33% of beneficiaries and 46% of Consortium Partners, knowledge partners and Network Members who participated in the survey consider that

CTCN activities enhanced the deployment and diffusion of innovative technologies and related knowledge/expertise.

161. Looking at TA specifically, figure 25 shows that the CTCN has mainly played its role as a matchmaker for technology outsourcing at the 1st Stage of technology transfer, including “decision-making tools and/or information provision”, “Feasibility of technology options”, “Technology identification and prioritization” and other policy recommendations. The role of the CTCN for technology RD&D and finance stage (2nd Stage), including “Piloting and deployment of Technologies in local conditions”, “Financing Facilitation”, and “Research and Development of Technologies” is much less important. This is even more so for technology diffusion i.e. private sector engagement and market creation (3rd Stage).

Figure 25

Distribution of the CTCN TA requests by type of assistance (CTCN, 2020)⁴⁰



4. Technology Needs Assessments and Technology Action Plans

162. While the first program of work did not cover TNAs and TAPs, the second PoW asserts that the CTCN and its expert implementing partners will continue to build on the findings of TNAs and TAPs, as appropriate, and seek to partner with countries and multilateral funding agencies to help them determine the approach best-suited to the national situation and stage of industrialization of the requesting country.

163. Actions and activities implemented by the CTCN to support countries to undertake and update TNAs in the present program of work include:

- (a) TA;
- (b) Capacity-building events on how to make effective use of TNA findings and TAPs and roadmaps;
- (c) Sharing of information on the CTCN knowledge platform, which will be supplemented with best practice and lessons learned on TNAs, at regional forums, and at UNFCCC meetings.

164. Indeed, the CTCN has incorporated TNA and TAP elements into the design of TA response plans and supported over 10 countries to develop TNA-related GCF Readiness Proposals, which include development of concrete concept notes for scaled up funding.⁴¹ As already mention, projects are also selected on the basis of their relevance to TNAs and NDCs in relation to national priorities.

165. However, actions taken by CTCN to integrate TNA and TAP in TA selection and implementation, as well as in capacity building and learning material do not seem to go far

⁴⁰ CTCN. 2020. The Role of the Climate Technology Centre and Network as a Climate Technology and Innovation Matchmaker for Developing Countries. Available [here](#).

⁴¹ AOP 2021. CTCN. The Joint annual report of the TEC and the CTCN for 2020 states that AOP 2021 15 countries have received CTCN support for implementing TNAs and technology action plans.

enough. The Terminal Evaluation of the UNEP/GEF Project TNA Phase II⁴² reckons that “CTCN is seen by all involved parties – implementing and executing agency and national teams – as an agency that can play a pivotal role in bridging the gap between TAP preparation, a key outcome of the TNA process, and implementation of project ideas, via support to develop those ideas effectively and thereby aligning towards financing mechanisms (such as GCF). This is also in line with CTCN’s mandate. However, it still is felt that CTCN is insufficiently engaged in the project – merely via involving in regional workshops and co-organization of regional workshops. The impact of this engagement at national level is insufficient and a more pro-active attitude from CTCN would be very beneficial. This could be addressed via direct bilateral communication (bi-annual meetings) between UNEP DTU Partnership / UNEP and CTCN to share the progress of the project and lessons learned.”

166. In 2020, 28 countries received support to implement the TNA, TAPs and NDCs.

167. 2020 Implementation results are presented in figure 26.

Figure 26

2020 Implementation results

| Implementation | | |
|--|--|---|
| 2020 AOP Indicators | Target | 2020 Results |
| Outcome 2: Countries have clear pathways with identified support options to enhance technology development and transfers | | |
| 2.A. NDE feedback on potential uptake of CTCN TA and non-TA recommendations and products to enhance technology development and transfer | * | 74% |
| 2.B. Number of countries having received support from CTCN to implement TNAs and TAPs | 15-20 | 28 |
| 2.C Amount of funding/investment mobilised or leveraged (in USD) for all activities of the technology framework as a result of the TAs (disaggregated by public national/international sources, private sector national/international sources) | 10:1 (external finance: CTCN investment) | CTCN Investment: 1.589.620 USD Funding leveraged: over 250 million USD |
| Output 2.1: Enhanced planning tools and processes for technology development and transfer | | |
| 2.1.a. Number of CTCN technical assistance supported (disaggregated between TA and FTA) | 30 new requests supported | 48 new requests supported in 2020 (4 FTAs; 44 TAs) |
| 2.1.b. Lessons learned from TA implementation available on CTCN knowledge platform | * | Updated information & lessons learnt were developed for 4 completed technical assistance cases |
| 2.1.c Number of technology feasibility studies conducted and sectoral road maps developed | * | Out of the 17 TAs that were completed in 2020, 12 TAs involved the production of technology feasibility studies and the development of sectoral road maps and strategies. |

5. Enabling environment

168. Aligned with the fact that its activities that support necessary R&D and/or innovation processes towards a specific technology that can be adopted and upscaled, surveys and

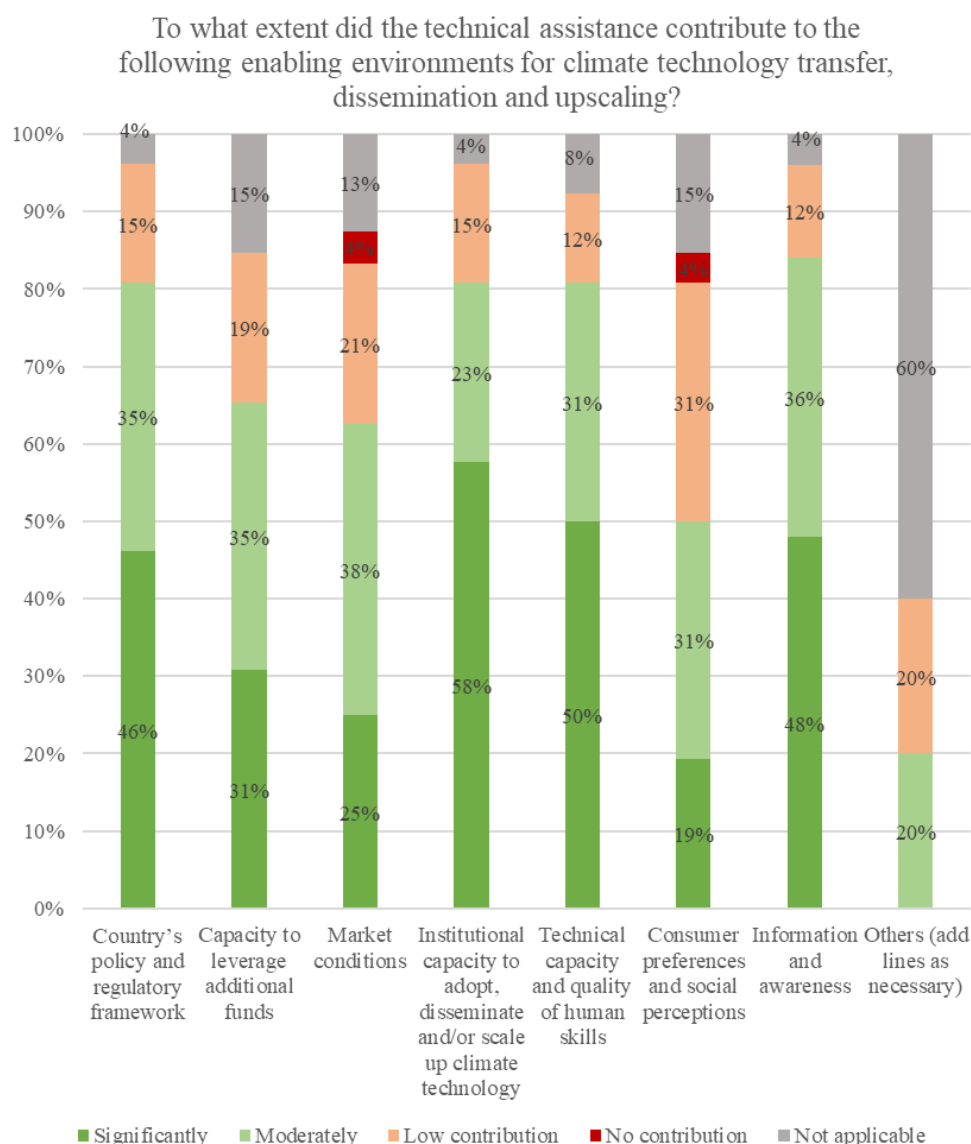
⁴² UNEP. 2020. Terminal Evaluation of the UNEP/GEF Project Technology Needs Assessment Phase II. Available [here](#).

evaluations conducted or commissioned by the CTCN have highlighted that its TA has laid the foundation for early adoption and scale-up of climate technologies.

169. Figure 27 shows that TA contributes to several factors in favour of creating enabling environments.

Figure 27

NDEs answer to the question “To what extent did the technical assistance contribute to the following enabling environments for climate technology transfer, dissemination and upscaling?” (Source: UNFCCC Technology Mechanism NDE Survey)

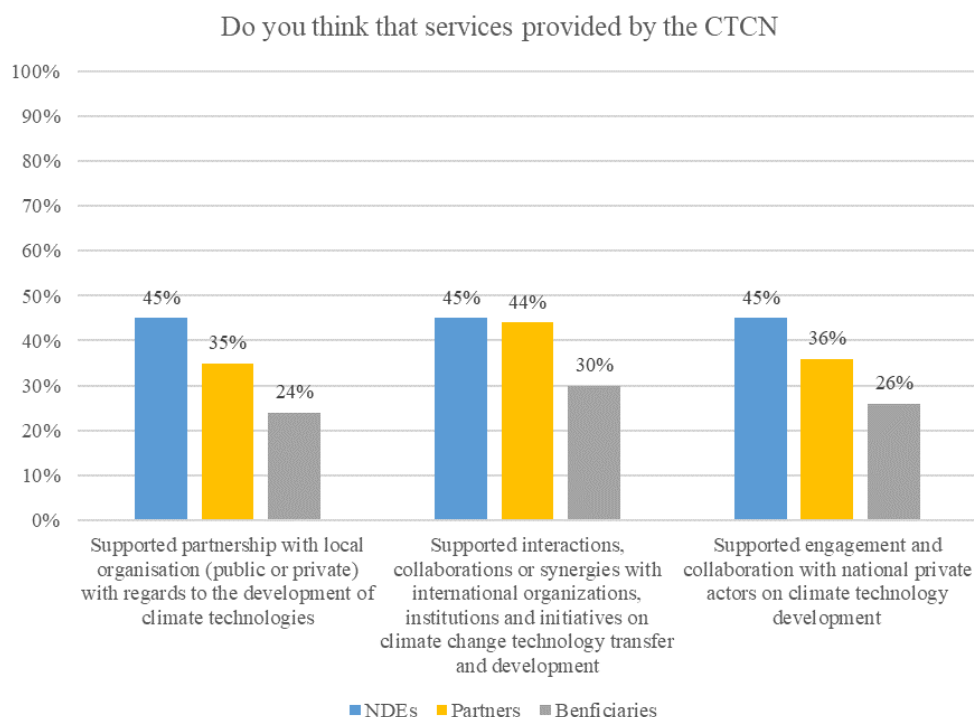


170. NDEs' perception that emerged in the survey show that the “contribution to enabling environments (e.g. policies, regulations...) that supported the development of climate-related projects” is among the main outcomes of CTCN activities.

6. Stakeholders' engagement

171. One of the five structuring themes of the PoW is dedicated to “Collaboration and stakeholder engagement” with the aim to enhance the number and quality of interactions between NDEs and all stakeholders critical to accelerating the transfer of climate technologies. Figure 28 shows NDEs', beneficiaries', Consortium Partners', knowledge partners' and Network Members' perception on CTCN support on collaboration and stakeholders' engagement.

Figure 28
Stakeholders' perception on CTCN support on collaboration and engagement by category of stakeholders (Source: EY)



172. According to some beneficiaries who responded to the survey, the CTCN do not often use local consultants or companies to deliver TA.

173. 2020 Collaboration and Stakeholder Engagement results are presented in figure 29. They show that targets were all met or exceeded.

Figure 29
2020 Collaboration and Stakeholder Engagement results

| Collaboration and Stakeholder Engagement | | |
|--|---|--|
| 2020 AOP Indicators | Target | 2020 Results |
| Outcome 3: A broad range of stakeholders collaborate in promoting gender-responsive climate technology development and transfer | | |
| 3.A. Number of engaged network members and knowledge partners | 20% of Network members | 44% |
| 3.B. Percentage of new CTCN TA implemented through Network Members | 75 to 80% of TA implementers contracted in 2020 | 75% |
| 3.C. Overall satisfaction of key stakeholders with CTCN services | Average satisfaction 3.5/5 | Network Member Survey: On average, respondents indicating all four activities were 'useful, beneficial or moved as planned'. |
| Output 3.1: Enhanced platforms and tools for collaboration and learning on climate technology development and transfer | | |
| 3.1.a. Number of deliverables produced during the technical assistance (disaggregated by type, excluding mission, progress and internal reports) | 80-100 | 200 |
| Output 3.2: Active partnerships between scientific community, authorities, private sector, CSOs, and financial institutions | | |

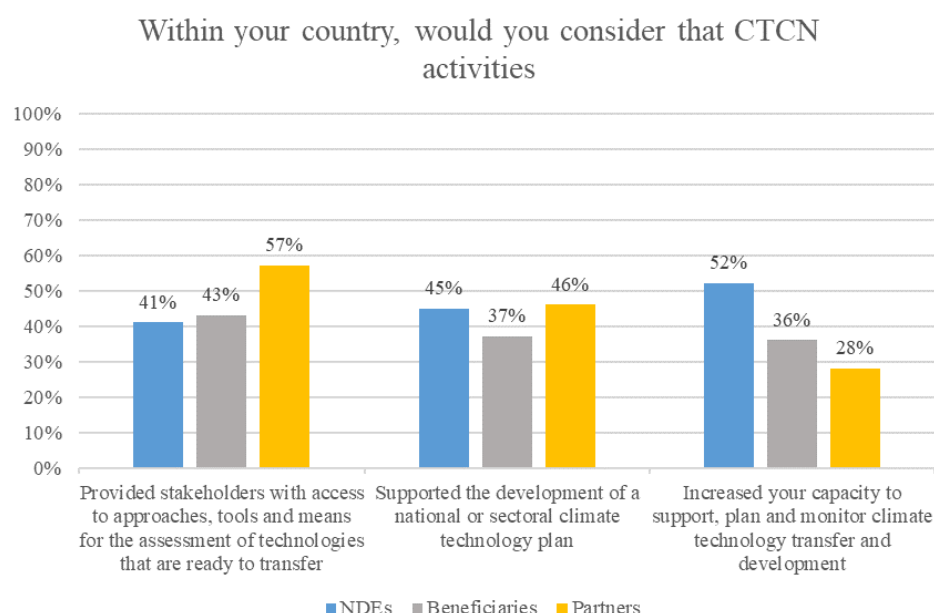
| | | |
|---|-----|--|
| 3.2.a. Total number of members in the CTC Network (disaggregated by region, type, approach, enabler and expertise) | 620 | The total number of Network members up to 31 December 2020 is 624. |
| 3.2.c. Number of South-South collaborations enabled during or through CTCN TA support, when stakeholders from other countries were involved in the assistance | 2-5 | 13 in total: 8 Pro-bono Technical Assistances; 2 LAC; 2 Asia Pacific; 1 global |

7. Support

174. Figure 30 shows that stakeholders' perception on CTCN activities' impacts on technology development and transfer are rather middling. Around half of responding stakeholders consider that CTCN activities "provided stakeholders with access to approaches, tools and means for the assessment of technologies that are ready to transfer", "supported the development of a national or sectoral climate technology plan" or "increased their capacity to support, plan and monitor climate technology transfer and development."

Figure 30

Stakeholders' perception of CTCN activities outcome (Source: EY)

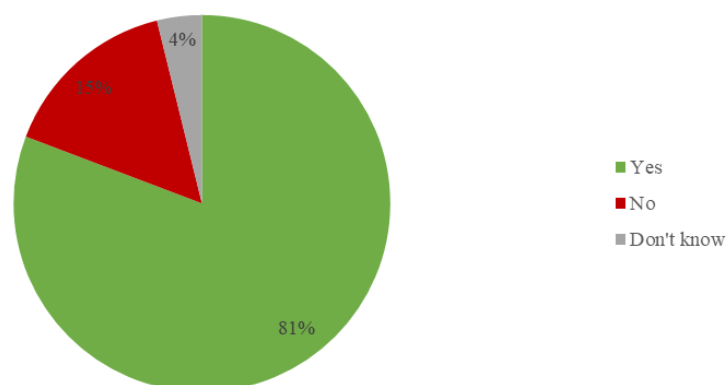


175. Besides, more than 80% of responding NDEs to the UNFCCC Technology Mechanism NDE Survey consider that the NDE, proponent, or other relevant stakeholders further implemented the recommendations and next steps provided by the CTCN TA to enhance technology development and transfer in their country (figure 31).

Figure 31

NDEs answer to the question “Has the NDE, proponent, or other relevant stakeholder further implemented the recommendations and next steps provided by this CTCN technical assistance to enhance technology development and transfer in your country?” (Source: UNFCCC Technology Mechanism NDE Survey)

Has the NDE, proponent, or other relevant stakeholder further implemented the recommendations and next steps provided by this CTCN technical assistance to enhance technology development and transfer in your country?



176. 2020 Results under the Support theme are presented in figure 32.

Figure 32

2020 Results under the Support theme

| Support | | |
|--|--|---|
| 2020 AOP Indicators | Target | 2020 Results |
| Outcome 5: Financial and technical resources identified and available to support climate technology development and transfer | | |
| 5.A. Annual percentage increase of funding mobilised for the activities of the CTCN | 10% increase in funding mobilised for the activities of the CTCN | Increase of 225% from 2019 to 2020 41% of the total income in 2020 was from GCF - \$5,041,923. Increase from 2019 to 2020 attributed to GCF only is 32% |
| Output 5.1: Multi-tier collaboration with Financial Mechanism operating entities | | |
| 5.1.a. number of events co-organised with operating entities of the Financial Mechanism (GEF, GCF), MDBs | 6 | 1 event Virtual dialogue on experience and lessons learned from the pilot regional climate technology transfer and finance centres under the PSP. |
| 5.1.b. Extent of mutually beneficial engagement (financial, technical or other) between the operating entities of the Financial Mechanism (GEF, GCF), MDBs, and the CTCN | * | GCF – 21 Readiness Proposals GEF - Piloting Innovative Financing for Climate Adaptation Technologies in Medium-Sized Cities Adaptation Fund - AFCIA MDBs - IsDB & EBRD active collaboration |
| 5.1.c. Number of technical assistance supported by the GEF/GCF (disaggregated by adaptation/ mitigation) | 10-12 | 25 TAs supported by GCF/GEF GCF – 21 Readiness Projects under implementation or newly approved in 2020 GEF – 4 technical assistance projects supported under the GEF project “Promoting Accelerated Transfer and |

| | | |
|--|-----------------------|--|
| | | Scaled-up Deployment of Mitigation Technologies” |
| Output 5.2: Diversification and mobilisation of the types and sources of technical and financial support available to countries | | |
| 5.2.a. Value of pro bono and in-kind support secured for CTCN activities | \$500,000 - 1 million | \$719,190 - from the Republic of Korea to implement 8 TAs. |
| 5.2.b. Level of donor engagement | 10 donors engaged | 8 donors engaged |
| 5.2.c. Number of technology proposals developed through CTCN technical assistance that are supported by the GEF/GCF | 3-5 | 9 |

8. Leveraging funding

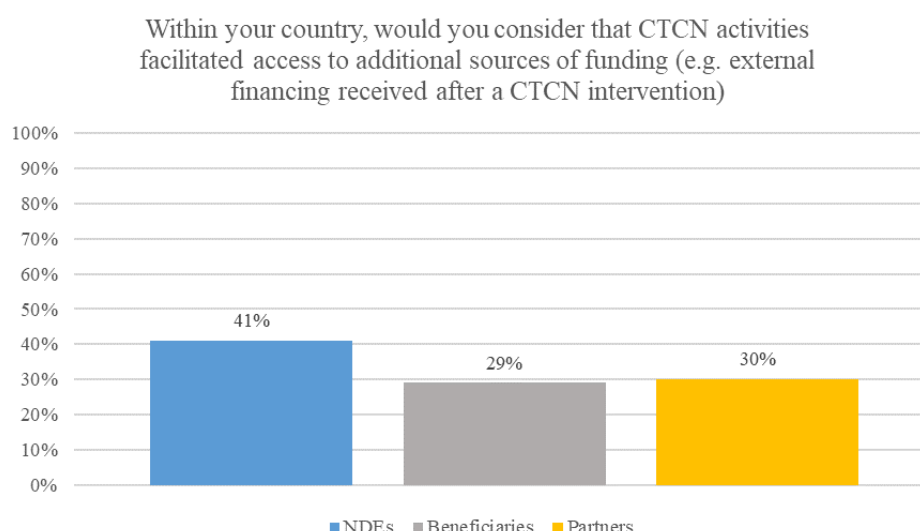
177. The CTCN activities have a positive impact on leverage for additional funding or investment: in 2020, CTCN TAs of about USD 800,000 resulted in the leveraging of over USD 200 million.⁴³

178. The UNFCCC Technology Mechanism NDE Survey shows that CTCN contribution to leverage additional funds is moderate: 66% of interrogated NDEs consider that the TA contributed to leverage additional funds.

179. Only half of the NDEs who responded the UNFCCC Technology Mechanism NDE Survey agreed to the fact that TA helps leverage additional funding or investment. This is confirmed by the survey conducted for the review: only 41% of responding NDEs consider that CTCN activities facilitated access to additional sources of funding (e.g. external financing received after a CTCN intervention) (figure 33).

Figure 33

Stakeholders’ perception of CTCN activities impact on access to additional sources of funding (e.g. external financing received after a CTCN intervention (Source: EY)



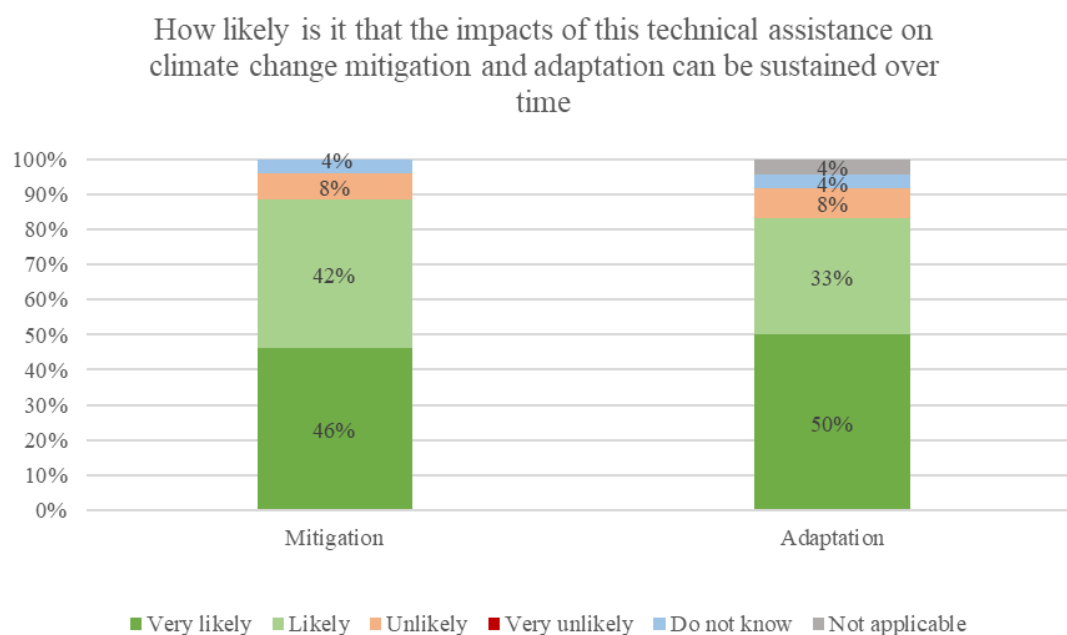
⁴³ Update on the work of the CTCN. 2020. Available [here](#).

9. Climate change resilient development and reduction of GHG emissions in developing countries

180. As shown in figure 34, NDE's perception is very positive on the likeliness of TA impacts on climate change mitigation and adaptation can be sustained over time.

Figure 34

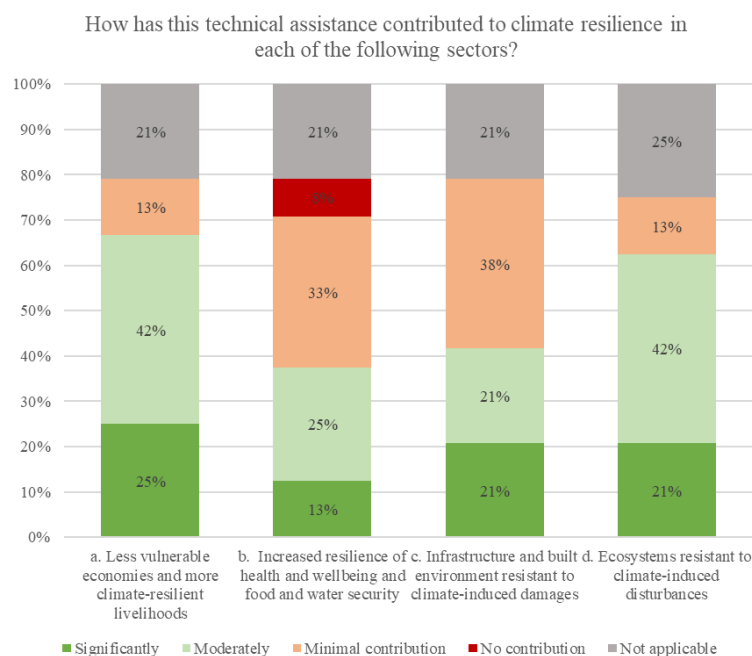
NDEs' answer to the question "How likely is it that the impacts of this technical assistance on climate change mitigation and adaptation can be sustained over time"
(Source: UNFCCC Technology Mechanism NDE Survey)



181. As shown in figure 35, 67% of the NDEs who responded to the UNFCCC Technology Mechanism NDE Survey replied that TA contributes to Less vulnerable economies and more climate-resilient livelihoods. In addition, 38% of the NDEs who responded to the UNFCCC Technology Mechanism NDE Survey showed significant and moderate contribution to increased resilience of health and wellbeing and food and water security.

Figure 35

NDEs answer to the question “How has this technical assistance contributed to climate resilience in each of the following sectors?” (Source: UNFCCC Technology Mechanism NDE Survey)



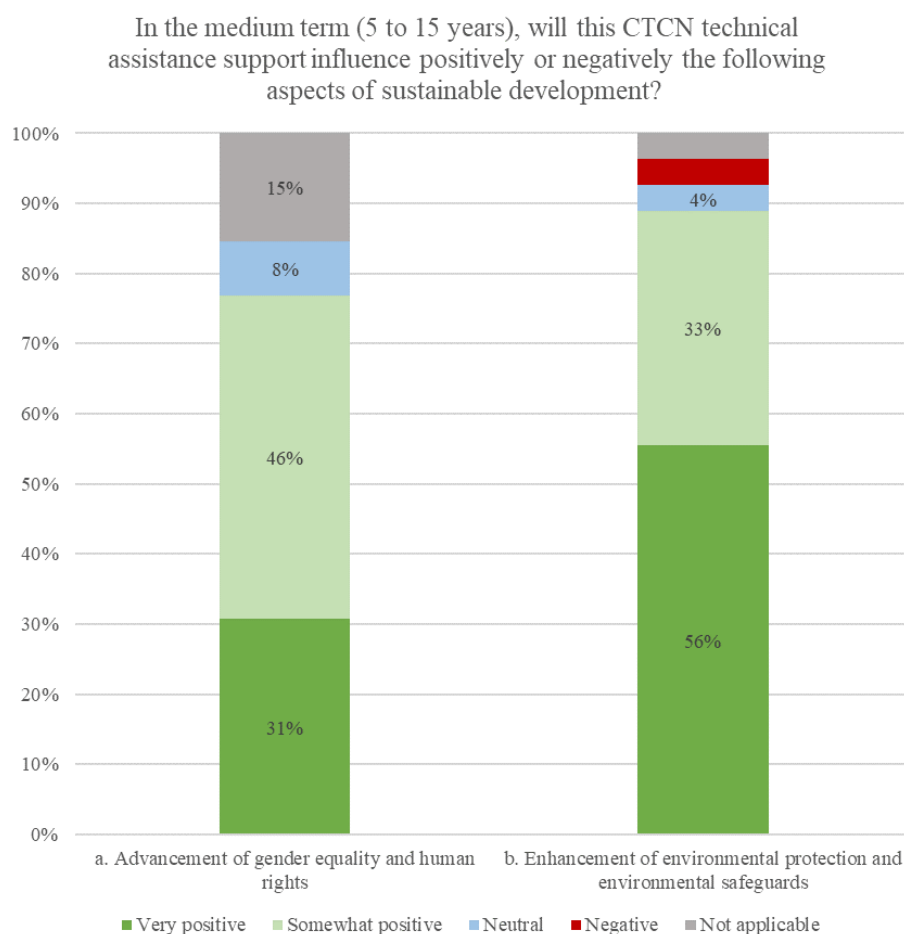
10. Socio-economic impacts

182. The UNFCCC Technology Mechanism NDE Survey shows that the influence of TA is positive or very positive on (figure 36):

- (a) Economic and social wellbeing of population (96% of answers);
- (b) Advancement of gender equality and human right (77% of answers).

Figure 36

NDEs answer to the question “In the medium term (5 to 15 years), will this CTCN technical assistance support influence positively or negatively the following aspects of sustainable development?” (Source: UNFCCC Technology Mechanism NDE Survey)



183. Results obtained through the independent review survey are more nuanced, as stakeholders’ perceptions that emerged show that the “inclusion of social issues in climate technology development (e.g. endogenous or gender- responsive technologies)” is seen as one of the minor outcomes CTCN activities.

184. The CTCN has increasingly engaged young people in its work in recent years with the goals of offering technology services to youth and providing them with a platform for sharing their insights and experience of climate technologies. The CTCN has continued to enhance collaboration with the constituency of youth NGOs. By offering opportunities for learning and mutual exchange of knowledge and experience, such as by highlighting the work of youth innovators and co-creating articles, workshops and webinars, the CTCN supports youth engagement in climate action while building important intergenerational bridges in support of transformative technology solutions.

185. Looking at gender equality specifically, the issue is now fully embedded in CTCN’s mandate through CTCN 2019- 2022 Gender Policy and Action Plan. The following table considers the level of implementation of the main actions formulated in the document. Implementation seems well advanced.

| <i>Action plan content (main actions)</i> | <i>Results</i> |
|---|--|
| <u>Governance</u> | |
| Strive to achieve gender parity in the appointment of its management and staff, including at top managerial levels. | No information to date |
| Encourage and generate awareness among CTCN NDEs and Advisory Board members of the COP guidance on the need to achieve gender balance in their Boards in accordance with decisions 36/CP.7 and 23/CP.18 and will report annually on the gender distribution of both the Board and CTCN Secretariat. | The CTCN Advisory Board is currently comprised of 8 women vs. 17 men: 32% female vs 68% male. This composition represents a slight improvement over the years. As a comparison, the Advisory Board at AB10 comprised of 26% female and 74% male members. (However, in 2019 it was 61% vs 39%). CTCN Secretariat is currently comprised of 13 women and 6 men. |
| Maintain a gender focal point. | Yes |
| <u>Operations - TA</u> | |
| Use criteria for prioritization of technical assistance's will continue to reflect if the request for technical assistance promotes and demonstrates gender equality, and empowerment of vulnerable groups, including women and youth. | Yes - CTCN's criteria for prioritization of technical assistance reflect if the request for technical assistance promotes and demonstrates gender equality, and empowerment of vulnerable groups, including women and youth. |
| Require that requests include a description of anticipated gender and other co-benefits that are likely to be generated as a result of the technical assistance. | Yes - Dedicated space in TA request form. |
| Require CTCN experts to reflect on gender and co-benefits of the technical assistance. | Yes |
| Allocate not less than 1% of the budget and resources for technical assistance to explicitly target gender mainstreaming | Yes |
| Require that all TAs consult CTCN gender mainstreaming guidelines during response plan design and implementation. | Yes - CTCN Gender Mainstreaming Tool for Response Plan Development is to be viewed as an initial gender mainstreaming guideline during the development of response plans and applies to design, implementation and monitoring of technical assistance. |
| Develop sector specific gender mainstreaming guidelines, e.g. for energy, water, agriculture and waste management sectors. | No information to date |
| Make available best practice examples of how gender integration at the request, implementation and M&E stage could look like. | No information to date |
| Require that TA implementers report and are assessed on gender integration | Yes - The new M&E system include the following KPIs: "number of participants men / women" and "% of men / women that significantly or moderately increased their capacities". At that stage less than ½ TA report those data. |

| <i>Action plan content (main actions)</i> | <i>Results</i> |
|--|--|
| | The Gender Mainstreaming Tool for Response Plan Development includes examples of appropriate gender indicators. |
| <u>Operations - Network</u> | |
| Establish a roster of climate technology and gender specialists | No information to date |
| Integrate gender equality guidelines into the Network Code of Conduct | Apparently, no integration of gender equality guidelines into the Network Code of Conduct as mentioned by the action plan. |
| Encourage women-led technology companies and gender and climate technology organizations to join the Network | Yes - In 2019, one could count 44 Network Members with gender expertise while the objective was to reach 20-25. |
| Organise: | Yes - 42% of the Network Members who answered the survey consider that as a direct result of CTCN services, got relevant information on gender-specific approaches to climate change mitigation and adaptation |
| <ul style="list-style-type: none"> - webinars on gender and climate technologies (1-2 per year) - Training sessions on specific gender and climate technology issues at regional forums, focal point workshops, COP's and other related events | In 2019, the CTCN enhanced its collaboration with the UNFCCC Women and Gender Constituency through the organization of the Gender Just Climate Solutions Award. |
| Encourage the participation of UNFCCC national gender focal points in regional forums to facilitate connections between ministries, policy-makers, CSOs and other relevant stakeholders | At AB14, the Board took part in a gender workshop organized by UNFCCC Gender Team, and CTCN Gender Focal Point, on steps towards understanding unconscious gender bias and work underway through the Gender Action Plan of the UNFCCC and the Gender Strategy of the CTCN. |
| | The following gender-related Training/Workshops were hosted in 2019: <ul style="list-style-type: none"> - Mainstreaming gender in Technology Needs Assessments - Women in energy: breaking stereotypes and inspiring change - Upscaling gender-just climate solutions - Gender training and technology for TEC members - Gender and technology training for CTCN Advisory Board members |
| | Women in energy: breaking stereotypes and inspiring change (Webinar) |
| Provide targeted support for capacity building of women professionals, policymakers, researchers, civil society organization leaders and entrepreneurs in climate technology sectors | No information to date |
| Require gender indicators, outcomes and impacts as well as provide relevant sex-disaggregated data through the CTCN closure reports | Partially – the new M&E system include the following KPIs: “number of participants men / women” and “% of men / women that significantly or moderately increased their capacities”. At that stage less than ½ TA report those data. |

| <i>Action plan content (main actions)</i> | <i>Results</i> |
|---|---|
| <u>Operations - Knowledge Sharing and Communication</u> | |
| Gather, manage and share an updated set of online tools and publications on gender and climate change via the CTCN web platform (including resources developed by its hosting organizations). | Yes - The CTCN online Gender Hub now contains nearly 700 publications, tools and case studies on gender and climate. In addition, the CTCN collaborated with its Consortium Partner <i>The Energy and Resources Institute (TERI)</i> to develop case studies on women's empowerment in energy supply chains in India and Nepal. |
| Identify and share best practices on gender and climate-related technologies through CTCN web platform, social media, and events. | Yes |
| Develop content (including in collaboration with partners and experts). | <p>Yes - CTCN Communication and Knowledge products produced in 2019 include:</p> <ul style="list-style-type: none"> - Gender-Just Climate Solutions Publication 2019 - Gender resource guide - Women in Energy: Breaking Stereotypes and Inspiring Change - Case studies on gender mainstreaming of energy supply chains in India and Nepal. <p>In 2020, the CTCN has supported development of a number of gender and climate change publications in partnership with UNEP, UNIDO, the United Nations Entity for Gender Equality and the Empowerment of Women and Women Engaged in a Common Future, among others.</p> |
| Encourage organizations with expertise in gender and climate technology to share their expertise with the Network. | No information to date. |
| Host and co-host events with a targeted gender and climate technology component as well as integrate gender awareness. | <p>Yes - The following gender-related events were hosted in 2019:</p> <ul style="list-style-type: none"> - Gender-Just Climate Solutions Award ceremony - SB50: The impact of the Lima Work Programme on Gender and its Gender Action Plan. The CTCN reported on its response to the Gender Action Plan while contributing to the acceleration of technology development and transfer and facilitated workgroup discussions - SB50: Implementing gender responsive NDC's from the bottom up. The CTCN was invited to present at the Women and Gender Constituency event - Press conference: Presenting winners of the Gender-Just Climate Solutions Award. <p>In 2020, series of capacity development training sessions on upscaling gender-just solutions were conducted and A capacity-building webinar on conducting a gender-</p> |

| <i>Action plan content (main actions)</i> | <i>Results</i> |
|---|--|
| | responsive TNA was presented by the UNEP DTU Partnership and the CTCN. |
| Develop current climate technology taxonomy by including more gender-related terms. | No information to date. |
| Seek to ensure a representation of both women and men, with a geographical balance, in its communication and outreach and seek to challenge gender stereotypes through the use of gender-inclusive language and images in its communication and outreach. | No information to date. |
| <u>M&E</u> | |
| Monitor and evaluate: | Yes, the new M&E system integrate those considerations. |
| <ul style="list-style-type: none"> - the status of equal participation of men and women in CTCN activities as well as special measures taken to incentivize gender balance. - gender integration in knowledge generation, management and dissemination. - the mainstreaming of gender in technical assistance design, implementation, budget, monitoring and evaluation phases as well as in capacity building activities. | |

Annexe VIII

Observations formulées par le Programme des Nations Unies pour l'environnement concernant le deuxième examen indépendant du Centre-Réseau des technologies climatiques¹

[Anglais seulement]

¹ The management response of UNEP was received on 11 August 2021. It is reproduced here as submitted by UNEP.

Management Response of the UN Environment Programme

Introduction

COP 23 requested the UNFCCC secretariat to commission the second independent review of the effective implementation of the Climate Technology Centre and Network (CTCN), and report on the findings of the review including any recommendations regarding enhancing its performance for consideration by the COP in 2021.²

The second independent review, conducted by Ernst and Young et Associés ("the consultant"), covers CTCN's operations and activities from 1 January 2017 to 31 December 2020. It also appraises how the CTCN has responded to the recommendations made in the first independent review (as requested by COP 24) and assesses the impacts of CTCN's activities since its inception.

The consultant formulated several recommendations to enhance the performance of the CTCN covering aspects related to CTCN's funding, governance and organization, and positioning. Not all the recommendations resulting from the independent review are directed solely at the UN Environment Programme as the CTCN's host organization. All the recommendations, however, are pertinent to the effective functioning of the CTCN and its ability to deliver on COP mandates, and they are best appreciated as a whole.

Recommendations

Funding

Recommendation 1: encourage the CTC, in collaboration with UNEP and in consultation with the CTCN Advisory Board, to further enhance resource mobilization so as to meet the costs associated with the CTCN

The COP decided that the costs associated with the CTC and mobilization of the services of the Network should be funded from various sources, including the Financial Mechanism; bilateral, multilateral and private sector channels; philanthropic sources; and financial and in-kind contributions from the host organization and participants in the Network. In the past four years many Parties provided financial resources that enabled the CTCN to become fully operational and perform its functions and activities as mandated by the COP. Regarding support under the Financial Mechanism, the CTCN recently obtained an increase in funding from the GCF and the Adaptation Fund. If additional resources were provided, the CTCN could scale up its provision of technical support to developing country Parties. The CTC, in collaboration with UNEP and in consultation with the CTCN Advisory Board, is encouraged to further diversify its sources of funding, for example by conducting a review of its resource mobilization strategy to make it more strategic and realistic, taking into account experience and lessons learned from the implementation of its previous corresponding strategy and from other organizations. In addition, it may consider strengthening the role of and resources for a dedicated deputy director or appointing senior consultants who would be in charge of strengthening and structuring relationships with the operating entities of the Financial Mechanism; developing opportunities for the CTCN to further engage with GEF recipient countries' focal points (through CTCN regional managers or NDEs) on identifying, developing and endorsing CTCN projects in order to be engaged in project implementation; and enhancing the marketing of CTCN services (communicating achievements, demonstrating impacts, etc.).

² Decision 14/CP.23, paragraph 10.

Response

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The CTCN's second Programme of Work (2019 – 2022) established a funding target of 62 million USD. Despite the ambitious Programme of Work and enhanced funding target, the 2019 – 2022 annual budgets saw reduced ambitions that reflected the actual funding available each year. To date, Parties have provided 18 million USD in voluntary contributions to fund the four-year programme, which has been complemented by an additional 12 million USD mobilized from the CTC's host institutions, the entities of the financial mechanism, and pro-bono contributions.

In collaboration with its host institutions, the CTC will continue to seek Advisory Board guidance regarding resource mobilization, including through the AB Taskforce. Under the guidance of the Advisory Board, the CTC has examined different funding scenarios that are in line with the CTC's mandate and based on experience with past resource mobilization efforts. Considerations include modalities to increase the CTCN's efficiencies through greater funding predictability over the next Programme of Work; increased contributions to the Multi-Donor Trust Fund; multi-year funding commitments; and new sources of funding from private and multilateral sources.

Furthermore, a donor roundtable will be convened by the CTC and its host institutions during COP26, under the auspices of the governments of Denmark and the United Kingdom, to renew and strengthen sustained funding for the CTCN.

The CTC's resource mobilization efforts will be further supported by the senior consultant engaged through UNEP in 2020 who is responsible for expanding the donor base, strengthening and structuring relationships with the entities of the Financial Mechanism, and working with CTCN regional managers to identify, develop and implement projects that enhance CTCN services.

As noted in the first independent review of the CTCN, the level, type, and predictability of funding determines the reach and ultimately the overall effectiveness of the CTCN. Both UNEP and UNIDO have regularly engaged with potential donors to secure additional funding for the CTCN. UNEP will continue to support the CTC's efforts to formalize arrangements with the entities of the Financial Mechanism with the objective of identifying and developing with them multi-year joint programmes.

Recommendation 2: encourage the CTCN to allocate dedicated resources to pursue its efforts to conduct regular ex post impact evaluations of technical assistance

The CTCN would benefit from demonstrating more thoroughly the long-term climate change related impacts and socioeconomic co-benefits (including with regard to gender-related issues) of its technical assistance. Despite ongoing efforts (e.g. the extended analysis of selected technical assistance included in the 2021 budget was postponed to 2022 owing to the COVID-19 pandemic), estimates of actual impacts (as opposed to anticipated impacts, which are currently measured) as well as ex post evaluation resources were limited. This recommendation could be carried out on a sample of projects three to four years after implementation, either by independent third parties (through a dedicated budget line) or by dedicated internal staff.

Response

With the CTCN technical assistance process firmly in place, the CTC recognizes the need to build on initial efforts to demonstrate more thoroughly the long-term impacts of its services.

Since the first independent review of the CTCN, the TEC and the CTCN developed a new joint M&E framework to track and assess anticipated impact data that complements data on immediate outputs of technical assistance and other activities. Considering the nature of CTCN interventions, most of which focus on creating enabling conditions for further scale-up and implementation of climate technologies, the

transformational impacts of such interventions are based on forecasts and anticipated results rather than already realized impacts.

The CTCN hopes to conduct a deep-dive analysis of selected, completed technical assistance interventions three to four years post-implementation. The evidence obtained will help determine the extent to which the CTCN's technical assistance achieved its objectives. Additional financial resources would, however, be required to conduct such an analysis; the CTCN will seek the guidance of the Advisory Board on possible funding sources.

Governance and organization

Recommendation 3: encourage the CTCN to further streamline communication between the host agencies and the CTC secretariat

It was found that the CTCN management structure could benefit from strengthened information flow between the CTC co-hosts (UNEP and UNIDO) and the CTC secretariat in Copenhagen. Hence, it is recommended to continue streamlining communication between the host agencies and the CTC secretariat. Notably, UNEP as host of the CTCN and the CTCN Trust Fund should look for ways to ensure that all CTCN resources are directed towards its Trust Fund.

Response

The CTC commits to streamlining communication with its host agencies at the management and operational levels, including through strengthening existing communication channels while maintaining the CTCN's responsiveness and agility.

Recognizing the challenges of having financial resources spread across different UNEP and UNIDO accounts, the host agencies will explore ways of directing resources to the CTCN's multi-donor trust fund. This would reduce the administrative and reporting burden. Donor preferences and requirements partly determine the accounts into which funds are placed, however, so the host agencies will remind donors about the advantages of using the dedicated multi-donor trust fund.

Recommendation 4: encourage the CTCN to further engage with and improve synergies among Network members

The CTCN should further engage with and improve synergies among Network members in order to take full advantage of its members' valuable sectoral and geographical expertise, allowing for a more efficient delivery of its services. It is recommended that the CTCN, guided by its Advisory Board, develop and operationalize a network engagement plan.

Response

The CTC has made many efforts to enhance Network engagement in recent years, especially as the Network continues to grow: over 650 climate technology stakeholders, including academic, finance, non-government, private sector, public sector, and research entities, have joined the CTC Network to date.

The CTC will continue to stimulate active engagement with its Network and utilize more fully the knowledge and resources available within the Network. It will develop and put into effect a network engagement plan based on the findings from the CTCN's Network survey conducted in 2019, feedback received from members, and past successes in engaging Network members that can be expanded.

Recommendation 5: encourage the CTCN to enhance efforts to stimulate active collaboration between NDEs and reinforce its capacity building support for NDEs to provide improved technical assistance

The CTCN is encouraged to enhance collaboration between NDEs from Annex I Parties and non-Annex I Parties, as well as to reinforce capacity-building provided to non-Annex I Party NDEs, notably by raising their profiles among government agencies and the private sector and monitoring the implementation of

technical assistance and the operationalisation of technical assistance recommendations. One of the main difficulties identified by NDEs is in relation to elaborating technical assistance requests. The CTCN is therefore encouraged to carry out further capacity-building activities, including through the Incubator Programme.

Response

Building capacity of NDEs and national stakeholders to strengthen the skills needed to develop and monitor technical assistance requests is essential to the work and mandate of the CTCN. The CTCN uses various approaches for identifying capacity development needs of NDEs and is acting to meet those needs.

The CTC will continue to undertake capacity building activities and provide tailored support to NDEs from LDCs and SIDS. If additional funding is available it will strengthen capacity building programmes that help all developing country NDEs develop technical assistance requests in strategic areas following a programmatic approach. With additional resources, the CTCN could also further support the development of technology road maps for NDC implementation.

Positioning

Recommendation 6: encourage the CTCN to collect relevant information for preparing its third programme of work, including an evaluation of potential beneficiary needs that could be addressed with the available budget

The CTCN is encouraged to collect relevant information for preparing its forthcoming third programme of work. A preliminary analysis should be performed using an assessment of the demand for CTCN services based on CTCN experience and a survey of NDEs; a report on the achievement of targets in the second programme of work; and a financial plan that identifies financial resources to be mobilized by the CTCN during the next period (including pledges from donors). Such an analysis should allow the CTCN to determine the share of requests it could potentially address given the current budget estimates.

Response

The CTC, in collaboration with UNEP and UNIDO and with the guidance of the Advisory Board, will prepare its third Programme of Work in early 2022 for endorsement by the Advisory Board at its September 2022 meeting. In designing the Programme of Work with the aim of strengthening its quality and improving outcomes, the CTC will incorporate data and findings from ongoing programme monitoring and that obtained through evaluations, the independent review, biannual NDE survey results, CTCN technical assistance and capacity building closure reports completed by implementing entities, and NDE feedback on completed technical assistance. This will be complemented by guidance provided by the Technology Framework and subsequent COP decisions.

The Third Programme of Work will be prepared during unprecedented times – in a post Covid-19 world with heightened climate impacts and a global call to action to Net Zero. In collecting information relevant for the 3rd Programme of Work, the CTCN will additionally focus on identifying and implementing transformational technologies that contribute to the implementation of enhanced NDCs and Net Zero goals. The CTCN will stress opportunities for supporting national efforts to build back forward in a post COVID-19 world, one in which digital technology has been identified as critical to addressing the links between climate change, nature, and sustainable development.

Recommendation 7: encourage the CTCN to reinforce its position as a climate technology matchmaker

It is recommended to further enhance the engagement of technology providers within the CTCN and the development of partnerships with existing centres, networks and institutions. The CTCN is encouraged to dedicate resources to the implementation of initiatives that enhance direct interaction between the private sector Network members.

Response

Through its core service areas, the CTCN has positioned itself as a key climate technology matchmaker for technology transfer globally, with over 350 technology transfer projects realized in 106 countries.

Over one half of the CTC's Network members are from the private sector, and many represent small and medium-sized enterprises (SMEs). The CTC engages its private sector network members through opportunities to bid for technical assistance implementation; opportunities for capacity building; joint webinars that allow sharing of experience; workshops; on-line presentations, and development of joint knowledge resources. Building on the successful outcomes of these initiatives, the CTCN will continue to expand partnerships for technology transfer, capacity building and resource mobilization. The CTCN will also seek Advisory Board guidance regarding additional financial resources that would allow enhanced interactions between Network members.
