

Annex

Rolling workplan of the Technology Executive Committee for 2016–2018¹

I. Introduction

1. Technology development and transfer is one of the pillars of the UNFCCC. In 2010 in Cancun, Mexico, the Conference of the Parties (COP) established the Technology Mechanism, which consists of two components: the Technology Executive Committee (TEC) and the Climate Technology Centre and Network (CTCN). The purpose of the Technology Mechanism is to facilitate the implementation of enhanced action on technology development and transfer to support countries in mitigation and adaptation actions and achieving full implementation of the Convention.

2. To fulfil its mandates, the TEC organizes its work through a rolling workplan. Since its first years of operation, the TEC has successfully implemented two rolling workplans: 2012–2013 and 2014–2015. The TEC regularly takes stock of the implementation of its workplan, and reviews the workplan to take into account new developments and requests arising from the most recent COP decisions and from the subsidiary bodies.

II. Input to the development of the rolling workplan for 2016–2018

A. General mandates

3. The rolling workplans of the TEC shall be consistent with general mandates and functions of the TEC and designed to support the TEC in fulfilling them.

4. The figure in the appendix illustrates the elements that collectively provide the general mandates of the TEC and that serve as the basis for the TEC to develop its workplans. These elements include the TEC functions, as stipulated in decision 1/CP.16, paragraph 121, and the mandate to further implement the technology transfer framework (paragraph 119 of the same decision). The TEC may also consider priority areas, which include the elements defined in decision 1/CP.16, paragraph 120. Furthermore, the TEC workplan should provide opportunities for the TEC to contribute to enhancing coherence and synergy within the Technology Mechanism, as mandated by the COP.

5. For its rolling workplan for 2016–2018, the TEC considered the outcomes of the twenty-first session of the COP. The Paris Agreement represents comprehensive, long-term and ambitious objectives that Parties collectively agreed to achieve over time. It heralds a new climate reality that requires implementation of action by all Parties, at a scale that needs to be progressively enhanced over time, including action on technology development and transfer. The Paris Agreement sets the direction for the future work of the TEC.

6. The Paris Agreement contains an article on technology development and transfer (Article 10), with a further mandate for the Technology Mechanism. Parties also adopted a number of decisions at COP 21 that include requests to the TEC and the CTCN to support the implementation of the Paris Agreement, enhance action prior to 2020, and enhance climate technology development and transfer through the Technology Mechanism. These outcomes guide the TEC in developing its new rolling workplan.

7. The adoption of the Paris Agreement and related decisions provide a strong signal for enhanced engagement and collaboration among Convention bodies and non-Party stakeholders to support Parties in implementing the Paris Agreement and in their actions in the pre-2020 period.

B. Specific requests of the Conference of the Parties and the subsidiary bodies

¹ Version June 2017 - Updated to incorporate activities in various thematic areas agreed at TEC14 meeting.

8. The TEC rolling workplan must respond to new specific requests and invitations of the COP and the subsidiary bodies at COP 21.

C. Activities in the rolling workplan for 2014–2015

9. There are a number of activities in the rolling workplan for 2014–2015 that started in 2015 and continue in 2016. Furthermore, some activities had not yet started and were considered as input to the development of the workplan for 2016–2018.

D. Outcomes of deliberations at the 11th meeting of the Technology Executive Committee

10. At the 11th meeting of the TEC, members provided input on the development of the rolling workplan for 2016–2018, including: (1) using key messages, recommendations and highlights from the TEC Briefs to define further activities and areas of collaboration with other bodies; (2) seeking feedback/input from other bodies on the work of the TEC pertinent to their areas; (3) identifying lessons learned from requests submitted to the CTCN and generating policy recommendations from them; and (4) considering ongoing work of the CTCN on topics that may be of interest to the TEC and synchronizing the approach taken by the two bodies. This input was considered in the development of the workplan for 2016–2018.

III. Development of the rolling workplan for 2016–2018

A. Approach

11. Based on the input and context presented above, it is clear that the TEC will continue to play a central role in enhancing technology development and transfer and that the contribution of the TEC to the implementation of the new climate change regime in the next few years will significantly increase. It is also clear that there is a high degree of confidence in the work of the TEC and Technology Mechanism to deliver enhanced action on technology development and transfer and to support Parties in the implementation of the Paris Agreement.

12. To ensure the delivery of outcomes that meet the expectations of Parties, a more strategic and coherent approach in the design of the new rolling workplan is needed. The approach, elaborated in the following sections, aims to:

- a) Enhance clarity, coherence and continuity of activities undertaken by the TEC;
- b) Maximize the efficiency and effectiveness of its work;
- c) Provide flexibility for organizing and sequencing its activities.

B. Workstreams

13. A strategic and coherent approach can be applied by organizing the work of the TEC in a manner that ensures coherence and continuity among activities undertaken by the TEC while at the same time maximizing the impact of those activities. With this consideration, the activities and work of the TEC for 2016–2018 were grouped into three workstreams, described in paragraphs 15 to 20 below.

14. It is important to note that the grouping is not intended to replace the general mandates and functions of the TEC, but only to organize the activities and work of the TEC to fulfil these mandates and functions in a more strategic and coherent manner. The workstreams maintain thematic areas that have been identified by the TEC.

Workstream 1: Analyse technology issues and provide policy recommendations

15. Under the previous workplans, the TEC undertook policy and technical analysis on technology needs, facilitative tools, road maps, best practices and actions, resulting in many policy recommendations and much guidance. One example of products resulting from this work is the policy briefs called “TEC

Briefs”, which aim to provide policymakers and other stakeholders with key findings on specific topics of climate technology development and transfer. Another example is the “key messages to the COP”, in which the TEC highlights measures and provides recommendations that countries may draw upon to accelerate climate technology action.

16. The strategic outcome from this workstream is to increase access by Parties to technology analyses, guidance, policy recommendations, road maps and other facilitative tools to support their enhanced action on mitigation and adaptation.

Workstream 2: Catalyse support and facilitate and promote technology cooperation and partnership to scale up implementation of actions

17. In addition to undertaking policy and technical analysis, the TEC also made efforts under the previous workplans to catalyse support and promote action on technology in various areas. Through this work the TEC provided input to and regularly engaged with other Convention bodies on issues related to technology. Furthermore, the TEC has actively engaged with organizations and relevant stakeholders outside the Convention, and has harnessed their expertise in the implementation of its workplans. The TEC is thereby in a position to catalyse support for technology action and to facilitate and promote further technology cooperation and partnership to scale up the implementation of actions on technology development and transfer, while maintaining a coherent and an holistic approach of efforts with those efforts undertaken by other actors.

18. The strategic outcome from this workstream is to enable Parties to receive effective support to accelerate the implementation of technology policy recommendations, action plans, programmes and projects.

Workstream 3: Work in collaboration with the Climate Technology Centre and Network to promote coherence and synergy within the Technology Mechanism

19. The TEC has regularly engaged with the CTCN through participation of the Chairs of both bodies in each other’s meetings and through the preparation of joint annual reports to the COP to ensure coherence and synergy within the Technology Mechanism. The TEC will continue this endeavour through various means to further promote coherence and synergy in order to facilitate the effective implementation of the Technology Mechanism.

20. The strategic outcome from this workstream is to ensure that Parties are served by the Technology Mechanism in a coherent and effective manner.

C. Duration and timeline

21. To support the approach outlined in paragraphs 11 and 12 above and ensure all mandates are fulfilled within the specified timeline, a rolling workplan with a three-year period has been considered more appropriate than the two-year period of the previous workplans.

22. The three-year rolling workplan also allows the sequencing of activities over the span of the period, taking into account mandates and activities that need to be delivered at a specific time.

23. The TEC will continue to periodically review the implementation of this rolling workplan and may adjust the timeline for the activities, as appropriate, taking into account future priorities set by and mandates from the COP.

D. Activities and deliverables

24. The activities and deliverables of the rolling workplan of the TEC for 2016–2018, organized under the three workstreams described in paragraphs 15–20 above, are presented in the table below.

E. Development and enhancement of endogenous capacities and technologies

25. The TEC recognizes that the issue of development and enhancement of endogenous capacities and technologies cuts across different areas. As such, in implementing its rolling workplan, the TEC will ensure that this matter is taken into consideration in all areas of work it undertakes. Furthermore, work on this

issue will be reported to the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement.

F. Engagement of non-Party stakeholders

26. In the implementation of its rolling workplan, the TEC will strive to enhance the engagement of non-Party stakeholders in undertaking the activities of the workplan. Such stakeholders include the private sector, non-governmental organizations, international organizations, Constituted bodies under the Convention or the Paris Agreement, and other relevant stakeholders.

G. Communications and outreach activities

27. To support and enhance the visibility of the outputs of the rolling workplan for 2016–2018, communications and outreach activities will be undertaken in line with the TEC communications and outreach strategy adopted at the 12th meeting of the TEC. The purpose of the strategy is to:

- a) Showcase the key role the TEC plays in supporting countries to transition to such pathways, by highlighting the TEC's output since its inception and the outputs of the workstreams under the new rolling workplan;
- b) Ensure that the output of the TEC can be easily accessed and used by decision makers, policymakers and other key stakeholders, especially in developing countries, either as guidance or as examples of best practice;
- c) Communicate to a wide audience the coherence and synergies within the Technology Mechanism as its bodies work together to support Parties in implementing the Paris Agreement;
- d) Create public awareness for the central role of technologies in the transition to sustainable, low-emission and climate-resilient development pathways.

28. In the implementation of its rolling workplan, the TEC will also ensure that communications and outreach actions are mainstreamed within the activities in the workplan so that the communications and outreach component becomes a part of the activity.

Rolling workplan of the Technology Executive Committee for 2016–2018 (updated post TEC 14 – June 2017)

Workstream 1: Analyse technology issues and provide policy recommendations					
Relevant functions/decisions: Decision 1/CP.16, paragraph 121(a), (b), (c), (d), (e) and (g)					
Strategic outcome: Parties have access to technology analyses, guidance, policy recommendations, road maps and other facilitative tools to support their enhanced action on mitigation and adaptation					
Thematic area	Activities	Deliverables	2016	2017	2018
Innovation and research, development and demonstration	1. Analyse how innovation, including technology transfer and distribution, can support implementation of the technology elements of NDCs and Paris Agreement mid-century strategies	1.1 Background paper (Incorporated into 4.2 below) 1.2 TEC Brief 1.3 Key messages to Parties		x	
	2.1 Map TNAs, NDCs and requests submitted to the CTCN regarding enabling environments and barriers	2.1 Background paper and mapping (2017/2018)			
	2.2 Based on work from activity 2.1, identify policies and strategies to improve enabling environments and address barriers	2.2 Key messages to Parties, including recommendations on policies and strategies (2018)		x	x
	3. Determine and undertake further work on RD&D, building upon previous TEC work on the issue	3.1 RD&D scoping paper for TEC 13, prepared by secretariat (2016) (TEC 13) 3.2 Further activities on RD&D, based on scoping paper	✓		x
	4. Assess the global technology RD&D financing needs, including options for stimulating private sector investment in RD&D and deploying climate technologies	4.1 Draft concept note for TEC 13 (TEC 13) and input to activities 19 and 23 4.2 Working paper on enhancing RD&D financing for climate technologies (May 2017)	✓		✓
Mitigation	5.1. Suggest future topics and provide inputs on the organization of TEMs, based on the analysis of TNAs, NDCs and inputs from activity 25	5.1. Inputs on future topics for the organization of TEMs	✓		
	5.2. Provide inputs to the assessment to improve the TEP effectiveness in 2017 as per decision 1/CP 21, paragraph 113	5.2. Inputs on TEP assessment		x	
	6. Take forward TEP outcomes, taking into account the policy options, and identify gaps and replicable best practices or enabling policy conditions for NDCs, as possible topics for TEC Brief and/or a thematic dialogue	6.1 Thematic dialogue, TEC Brief and Executive summaries for targeted stakeholders (2017-2018) , key messages to COP 23 6.2 Report on TEP work in joint annual reports	✓		x
Technology needs assessment	7. Elaborate the guidance on the preparation of TAPs and make it available in early 2016	7. Published guidance on TAPs (May 2016)	✓		
	8. Provide an overview of new TNA and TAP reports of the Phase II TNA project (2017-2018)	8. Overview paper of new TNA and TAP reports of the Phase II TNA project		x	x

Workstream 1: Analyse technology issues and provide policy recommendations					
Relevant functions/decisions: Decision 1/CP.16, paragraph 121(a), (b), (c), (d), (e) and (g)					
Strategic outcome: Parties have access to technology analyses, guidance, policy recommendations, road maps and other facilitative tools to support their enhanced action on mitigation and adaptation					
Thematic area	Activities	Deliverables	2016	2017	2018
	9.1 In collaboration with the AC, the LEG and the CTCN, consider how Parties could be helped to align their TNAs with the process to formulate and implement NAPs. Drawing on previous work, prepare an update to inform the TEC	9.1 Paper on aligning TNAs with the process to formulate and implement NAPs	x	x	
	9.2 Analyse linkages between TNA process and NDC process	9.2 Paper on linking TNA and NDC processes	x	x	x
	10. Compile and synthesize transport-related information in the TNAs to inform the TEMs on mitigation in May 2016	10. Compilation and synthesis of TNA transport-related information (May 2016)	✓		
	11. Prepare a draft methodology on how to monitor the TNA results, including what such monitoring should include, with a view to showcasing success stories	11. Methodology on monitoring	x	x	x

Workstream 2: Catalyse support and facilitate and promote technology cooperation and partnership to scale up implementation of actions					
Relevant functions/decisions: Decision 1/CP.16, paragraph 121(b), (c), (d), (e), (f) and (g)					
Strategic outcome: Parties receive effective support to accelerate the implementation of technology policy recommendations, action plans, programmes and projects					
Thematic area	Activities	Deliverables	2016	2017	2018
	12. Conduct a thematic dialogue on enablers and barriers to South-South cooperation on technologies for adaptation	12. Thematic dialogue (TEC 12)	✓		
Adaptation	13.1 Further work on SSC and TrC on technologies for adaptation: engagement and explore potential collaboration with UNOSSC	13.1 Report on possible collaboration with UNOSSC (TEC 13)	✓		
	13.2 Further work on SSC: develop TEC Brief on SSC/TrC on adaptation technologies	13.2 TEC Brief on SSC/TrC on adaptation technologies (June 2017)		✓	
	13.3 Further work on SSC: develop compilation on effective information sharing and practical learning from SSC/TrC on adaptation technologies to serve as guidance for countries	13.3 Guidance on good practices on SSC practical learning		x	
	13.4 Further study the potential application of SSC on adaptation and mitigation technologies to assist countries in implementing their NDCs and NAPs, to be undertaken jointly with mitigation taskforce	13.4 Report on potential of SSC/TrC to assist in implementing NDC and NAP			
	14. Engage and contribute to the work of the AC core working group in the preparation of TEMs on adaptation	14. Input to the AC on TEMs on adaptation	✓	✓	x

Workstream 2: Catalyse support and facilitate and promote technology cooperation and partnership to scale up implementation of actions						
Relevant functions/decisions: Decision 1/CP.16, paragraph 121(b), (c), (d), (e), (f) and (g)						
Strategic outcome: Parties receive effective support to accelerate the implementation of technology policy recommendations, action plans, programmes and projects						
Thematic area	Activities	Deliverables	2016	2017	2018	
Climate technology finance	15.1 Continue to consult and further elaborate the linkages between the TM and the FM	15.1 In-session workshop at SB 44 (May 2016) & Summary of findings from the consultations and in-session workshop in joint annual report 2016	✓			
	15.2 Consider follow-up activities on climate technology financing following the outcomes of COP 22 (November 2016) on linkages between the TM and the FM	15.2 Identification of follow-up actions on climate technology financing (TEC 14)		✓		
	<u>GCF</u> 15.3 Prepare inputs to present the outcomes of the TECs work on innovation and RD&D to the GCF Board at its 18th meeting (October 2017) 15.4 Prepare inputs for the annual meeting of the GCF with the UNFCCC Thematic Bodies to be organised in conjunction with the COP	15.3 Input to present the outcomes of the TECs work on innovation and RD&D to the GCF Board 15.4 Inputs for the annual meeting of the GCF with the UNFCCC Thematic Bodies to be organised in conjunction with the COP			x	x
	<u>GEF</u> 15.5 Provide policy advice on measures to create enabling environments for technology development and transfer in developing countries and an analysis of the barriers that hamper project/programme implementation	15.5 Policy advice on measures to create enabling environments for technology development and transfer in developing countries and an analysis of the barriers that hamper project/programme implementation				x
	<u>SCF</u> 15.6 Provide input into the review of the Financial Mechanism	15.6 Input into the review of the Financial Mechanism (May 2017)			✓	
	16.1 Provide input for the in-session workshop on long-term finance	16.1 Input to the workshop on long-term finance (May 2016)	✓			
	16.2 Provide input into the draft guidance of the operating entities of the FM	16.2 Input to the Standing Committee on Finance into the draft guidance to the operating entities of the FM	✓		x	x
17. Update the PSP evaluation report to include experiences and lessons learned from PSP climate technology transfer and finance centres and pilot projects of the fourth replenishment of the GEF	17.1 Update on progress in undertaking the PSP evaluation 17.2 Updated PSP evaluation report			x	x	

Workstream 2: Catalyse support and facilitate and promote technology cooperation and partnership to scale up implementation of actions					
Relevant functions/decisions: Decision 1/CP.16, paragraph 121(b), (c), (d), (e), (f) and (g)					
Strategic outcome: Parties receive effective support to accelerate the implementation of technology policy recommendations, action plans, programmes and projects					
Thematic area	Activities	Deliverables	2016	2017	2018
Emerging and cross-cutting issues	<u><i>Loss and damage</i></u> 18.1. Engage with the WIM ExCom to exchange views and explore areas of common interest relevant to the work of both bodies, with the aims to: (1) enhance understanding of technologies that reduce or avert loss and damage and adaptation technologies that could be relevant to loss and damage, particularly in vulnerable developing countries; and (2) identify a specific intervention related to technology that the TEC can contribute relevant to work on loss and damage	18.1 Exchange of views with the WIM ExCom, including through cross-participation in meetings or a joint thematic dialogue, resulting in enhanced understanding of the concept of technologies that reduce or avert loss and damage	✓		
	18.2 Further work on loss and damage: prepare recommendations for entry points for collaboration with the WIM ExCom, taking into account TEC outputs that may be relevant to this collaboration and information related to Marrakesh decision on L&D	18.2 Recommendations for entry points for collaboration with the WIM ExCom to the development of ExCom five-year work programme (TEC14) and any follow up	✓	✓	x
	<u><i>Endogenous capacities and technologies</i></u> 18.3 Define the concept and scope of endogenous capacities and technologies, with a view to providing general guidance for the further work of the TEC in this area	18.3 Report on the concept and scope of endogenous capacities and technologies 18.4 Further work by the TEC in this area		x	x
Innovation and research, development and demonstration	19. Organize an event, which brings together national, regional and multilateral stakeholders, on how innovation, including technology transfer and distribution, can support implementation of the technology elements of NDCs and Paris Agreement mid-century strategies (refer to activity 1)	19.1 Event (May 2017) 19.2 Communication and outreach materials, including on possible policies and strategies to accelerate innovation (<i>incorporated into 1.2 above</i>)		✓	
	20. Organize an event to showcase: (1) results from mapping of TNAs, NDCs and requests submitted to the CTCN; and (2) policies and strategies to improve enabling environments and address barriers (refer to activity 2)	20.1 Event 20.2 Communication and outreach materials, including on possible collaboration strategies			x
Mitigation	21.1 Provide updates during the TEMs on mitigation on the TEC work on the TEP	21.1. Input and presentations in the TEMs on mitigation	✓	✓	x
	21.2 Organise/host a thematic session during TEM-Mitigation	21.2 Thematic session on Innovative policies and technological solutions for sustainable urban development at TEM-M in May 2017, and any follow up		✓	
	21.3 Engage with High-level champions and provide inputs on potential collaboration that mutually beneficial to work of the TEC and Marrakesh Partnership for Global Climate Action	21.3 Inputs to HL Champions (May 2017) and any follow up engagement		x	

Workstream 3: Work in collaboration with the Climate Technology Centre and Network to promote coherence and synergy within the Technology Mechanism					
Relevant functions/decisions: Decision 1/CP.16, paragraphs 118, 126 and 127, and decision 17/CP.20, paragraph 3					
Strategic outcome: Parties are served by the Technology Mechanism in a coherent and effective manner					
Thematic area	Activities	Deliverables	2016	2017	2018
Adaptation	22. Together with the CTCN, explore opportunities for collaborating with UNOSSC and/or other non-Party stakeholders, including the private sector, to further promote SSC and TrC	22. Report on possible collaboration with UNOSSC (TEC 13)	✓		
Innovation and research, development and demonstration	23. Collaborate with the CTCN during regional events to showcase key messages on how innovation, including technology transfer and distribution, can support implementation of the technology elements of NDCs and Paris Agreement mid-century strategies (refer to activity 1)	23. Disseminated outcomes and key messages		x	x
	24.1 Collaborate with the CTCN during regional events to showcase recommendations on policies and strategies to improve enabling environments and address barriers (refer to activity 2)	24. Disseminated outcomes, key messages and recommendations			x
	24.2 Provide feedback to Parties and the CTCN on improving enabling environments and addressing barriers, including within TNAs, NDCs and requests submitted to the CTCN (refer to activity 2)				
Mitigation	25. Seek input from the CTCN on suggestions for future topics for TEMs on mitigation	25. Input for the organization of TEMs on mitigation (TEC13)	✓		
Other	26.1 Work with the Advisory Board of the CTCN to update procedures for preparing the joint chapter of the joint annual report to the COP	26.1 Updated procedures for the joint chapter of the joint annual report (TEC 14)		✓	
	26.2 Work with the CTCN to determine reporting to the CMA	26.2 Agreed arrangement on how to report to the CMA (TEC 14)		✓	

Abbreviations

AC - Adaptation Committee

CMA - Conference of the Parties serving as the meeting of the Parties to the Paris Agreement

COP - Conference of the Parties

CTCN - Climate Technology Centre and Network

FM - Financial Mechanism

GCF - Green Climate Fund

GEF - Global Environment Facility

LEG - Least Developed Countries Expert Group

NAP - national adaptation plan

NDCs - nationally determined contribution

PSP - Poznan strategic programme on technology transfer

RD&D - research, development and demonstration

SCF - Standing Committee on Finance

SSC - south-south cooperation

TAP - technology action plan

TEC - Technology Executive Committee

TEM - technical expert meeting

TEP - technical examination process

TM - Technology Mechanism

TNA - technology needs assessment

TrC - triangular cooperation

UNOSSC - United Nations Office for South-South Cooperation

WIM ExCom - Executive Committee of the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts