

Tenth meeting of the Technology Executive Committee

AHH, Bonn, Germany
9–12 March 2015

Background note

Draft outline of the interim report of the Technology Executive Committee on the evaluation of the Poznan strategic programme on technology transfer

I. Background

1. In June 2014, SBI 40 invited the TEC to evaluate the PSP with the aim of enhancing the effectiveness of the Technology Mechanism and to report back to COP 20 through SBI 41.
2. In response to that invitation, the TEC reported to COP 20 on its initiation of the evaluation in 2014. At the Lima climate change conference, SBI 41 noted that the TEC will undertake the evaluation of the PSP in 2015, guided by the terms of reference to be developed by its task force on this matter. It invited the TEC to provide an interim report on the TEC's preliminary findings to SBI 42 (June 2015) and a final report to COP 21 through SBI 43 (November–December 2015).

II. Scope of the note

3. This background note provides, in its annex, a draft outline of the TEC's interim report to SBI 42 on the TEC's preliminary findings on the evaluation of the PSP.

III. Possible action by the Technology Executive Committee

4. The TEC may wish to consider the draft as contained in the annex to this note and provide guidance to the taskforce on the preparation of interim report for SBI 42.



Annex

Evaluation of the Poznan strategic programme on technology transfer: Interim report by the Technology Executive Committee

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I. Introduction

A. Mandate

1. In June 2014, Subsidiary Body for Implementation (SBI) invited the TEC to evaluate the Poznan strategic programme on technology transfer (PSP) with the aim of enhancing the effectiveness of the Technology Mechanism and to report back to COP 20 through SBI 41.¹
2. In its report to COP 20, the TEC acknowledged that additional time would be required to evaluate the PSP. It also acknowledged the importance of undertaking the evaluation in close consultation with the GEF.²
3. In December 2014, SBI 41 noted that the TEC will undertake the evaluation of the PSP in 2015, guided by the terms of reference to be developed by its task force on this matter. It invited the TEC to provide an interim report on the TEC's preliminary findings to SBI 42 (June 2015) and a final report to COP 21 through SBI 43 (November–December 2015).³

B. Scope of the note

4. This document is the TEC's interim report on its preliminary findings on the evaluation of the Poznan strategic programme on technology transfer.

C. Possible action by the Subsidiary Body for Implementation

5. The SBI may wish to take note of the TEC's preliminary findings on the evaluation of the PSP and provide further guidance to the TEC on this matter.

II. Background

6. COP 13 requested the Global Environment Facility (GEF) to elaborate a strategic programme for scaling up the level of investment for technology transfer. This was undertaken with the aim of helping developing countries to address their needs for environmentally sound technologies.⁴
7. In 2008, the GEF Council approved a strategic programme on technology with funding of \$50 million USD. The programme had three funding windows:
 - (a) Technology needs assessments (TNAs);
 - (b) Piloting priority technology projects linked to TNAs;
 - (c) Dissemination of GEF experience and successfully demonstrated environmentally sound technologies.

¹ FCCC/SBI/2014/8, paragraph 142.

² FCCC/SB/2014/3, paragraph 51.

³ FCCC/SB/2014/X, paragraph X.

⁴ Decision 4/CP.13, paragraph 3.

8. COP 14 renamed this programme the Poznan strategic programme on technology transfer (PSP) and requested the GEF to, inter alia, consider the long-term implementation of the PSP and report back to COP 16.⁵

9. At COP 16, the GEF reported on a plan for the long-term implementation of the PSP.⁶ This plan contained five elements⁷:

- (a) Support for climate technology centres and a climate technology network;
- (b) Piloting priority technology projects to foster innovation and investments;
- (c) Public-private partnership for technology transfer;
- (d) TNAs;
- (e) GEF as a catalytic supporting institution for technology transfer.

10. COP 16 established the Technology Mechanism to facilitate enhanced action on technology development and transfer. It also mandated the Technology Executive Committee (TEC) and the Climate Technology Centre and Network (CTCN), consistent with their respective functions, to facilitate the effective implementation of the Technology Mechanism, under the COP's guidance.

III. Progress of work

(This section will summarize the TEC's work on the evaluation in the first half of 2015, up until this report's submission. It will be completed after TEC 10.)

11. In the first half of 2015 the TEC has undertaken a series of activities to ensure that it effectively evaluates the PSP. The TEC also established an internal task force to undertake intersessional work to support its evaluation of the PSP.

12. At TEC 10, the TEC held a meeting with the GEF and other key stakeholders on the evaluation of the PSP. Participants included the TEC Chair and Vice-Chair, the TEC taskforce, GEF representatives, the CTCN and the UNFCCC secretariat.

13. The purpose of the meeting was to:

- (a) Discuss the objectives, scope of work and expected outcomes of the evaluation of the Poznan strategic programme;
- (b) Invite the GEF to provide an overview of the background, status and lessons learned from the implementation of the Poznan strategic programme;
- (c) Discuss the process for undertaking the evaluation, including:
 - (i) The terms of reference of the evaluation;
 - (ii) The methodologies and process for the evaluation;
 - (iii) The sources of information;
- (d) Discuss the activities and timelines of the taskforce and the TEC.
- (e) Discuss next steps.

⁵ Decision 2/CP.14, paragraph 1.

⁶ See: <<http://unfccc.int/resource/docs/2010/sbi/eng/25.pdf>>.

⁷ The GEF noted that three of the long-term elements (piloting projects, TNAs and GEF as a catalytic supporting institution) are a direct continuation and scaling up of the three elements of the initial PSP (as per paragraph 2 above). Refer to FCCC/CP/2013/3, annex, paragraph 140.

14. Outcomes from this meeting included... *(to be completed)*.

15. At its tenth meeting, the TEC considered its progress in undertaking the evaluation of the PSP. As part of this consideration, the TEC reviewed and finalized the terms of reference for the evaluation, which may be found in the annex to this report. TEC 10 also considered the indicative structure of the interim report and the preliminary findings to be included there within (see section III below). It also gave guidance to its internal task force on the intersessional work to be undertaken on the evaluation. TEC 10 identified the following next steps and the further work required to finalize the evaluation in 2015... *(to be completed)*.

16. *(Further information to be added as necessary)*.

IV. Preliminary findings

17. The TEC has commenced its evaluation of the PSP and will provide a final report on the evaluation to COP 21 through SBI 43. Consistent with the terms of reference for the evaluation (see the annex to this report), the first stages of the process of the evaluation are the:⁸

(a) Planning and design: agreement of the evaluation's elements, such as: scope, activities, information sources and timing;

(b) Data collection: extraction of information from all relevant and available reports.

18. The following sections outline the TEC's preliminary findings with regards to these two process stages. The TEC notes that these are preliminary findings which will be further refined and enhanced during the course of the evaluation.

A. Planning and design

19. As noted in section II above, the TEC has agreed on the terms of reference for the evaluation. This document contains information on the evaluation's aim, scope of work, process, activities, information sources and timing. It may be found in the annex to this report.

B. Data collection

20. *(To be completed: description of the past and current work in the five areas of the PSP.)*

21. *(To be completed: description of the past and current work of the TEC and the CTCN.)*

22. The TEC notes that it will continue to collect and obtain data and other information, including from the information sources as noted in the terms of reference, as required to undertake the evaluation.

⁸ See section III of the annex.

Annex

Evaluation of the Poznan strategic programme on technology transfer: Terms of reference of the Technology Executive Committee

I. Aim

1. The aim of the PSP evaluation is to enhance the effectiveness of the Technology Mechanism.

II. Scope of work

2. The scope of the PSP evaluation should cover:

(a) The PSP's effectiveness and efficiency in meeting Party needs, including factors affecting the PSP's outcomes;

(b) The PSP's operations in terms of (i) up-scaling and replicating projects and (ii) its relevance to address global and regional issues;

(c) The progress made and lessons learned in implementing the PSP, relevant to the Technology Mechanism's operationalization;

(d) Mandates: Overlap and complementarity in the PSP's and the Technology Mechanism's mandates;

(e) Activities: Overlap, complementarity and synergies between activities undertaken under the PSP and the Technology Mechanism;

(f) Possible ways of improving the PSP to enhance the effectiveness of the Technology Mechanism.

III. Process

3. The process for undertaking the PSP evaluation should include:

(a) Planning and design: agreement of the evaluation's elements, such as: scope, activities, information sources and timing;

(b) Data collection: extraction of information from all relevant and available reports. Data collection may include a literature review (which may refine the evaluation's scope) and research of evaluations, case studies and relevant publications;

(c) Review and analysis: undertake a review and a meta-analysis of the information from all relevant recent evaluations produced by the GEF and the UNFCCC;

(d) Development of recommendations: based on the review and analysis, identify possible next steps;

(e) Report writing.

IV. Activities

4. The PSP evaluation should comprise the following tasks:

Data collection

(a) Collect and review information on the PSP's activities of relevance to the Technology Mechanism;

Review and analysis

(b) Review the GEF's implementation of all relevant COP decisions and SBI conclusions on the PSP of relevance to the Technology Mechanism;

(c) Review the GEF's progress in implementing activities under the PSP of relevance to the Technology Mechanism;

(d) Analyse how the PSP has contributed to scaling up the level of investment in the transfer of environmentally sound technologies to developing countries;

(e) Identify experiences and lessons learned from the implementation of the PSP of relevance to the Technology Mechanism;

(f) Identify lessons that could be drawn from the PSP of relevance to the Technology Mechanism's operationalization;

Development of draft recommendations

(g) Consider how to enhance synergy between the work of the PSP and the Technology Mechanism;

(h) Evaluate the PSP, drawing on the above information, in the context of enhancing the effectiveness of the Technology Mechanism, including by preparing draft recommendations on next steps;

Report writing

(i) Prepare a report on the evaluation's outcomes, for the TEC's consideration;

(j) Highlight limitations related to the evaluation, e.g. challenges related to the accessibility of data.

V. Information sources

5. The PSP evaluation will be based on information requested from the GEF, Parties and GEF agencies. Information for the evaluation should be drawn from, inter alia:

(a) Relevant COP decisions and SBI conclusions;

(b) GEF reports on the progress made in implementing the PSP, including project reports;

(c) TEC and CTCN reports;

(d) Information shared by the GEF in the process of consultations with the taskforce;

(e) Information shared by the CTCN in the process of consultations with the taskforce;

(f) Information shared by external experts and stakeholders, including Parties, beneficiary countries of the PSP, GEF agencies and international financial institutions;

(g) Third party reviews of the PSP.

VI. Timing

6. Prepare an interim report on the TEC's preliminary findings of the evaluation to SBI 42 (June 2015).
 7. Prepare a final report of the TEC's evaluation to COP 21 through SBI 43 (November – December 2014).
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