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Mise au point et transfert de technologies
et mise en place du Mécanisme technologique
Examen du bon fonctionnement du Centre
et Réseau des technologies climatiques

Rapport sur l'examen indépendant du bon fonctionnement du Centre et Réseau des technologies climatiques

Résumé

Le présent rapport contient les conclusions de l'examen indépendant du bon fonctionnement du Centre et Réseau des technologies climatiques (CRTC). Il présente un aperçu détaillé des quatre années de fonctionnement du CRTC depuis sa création, notamment en ce qui concerne sa mise en service et la mise en place des principaux services. En outre, il contient les principaux résultats de l'évaluation par thèmes (pertinence, efficacité, efficience, effets et durabilité), les conclusions de l'examen et des recommandations visant à améliorer les résultats du CRTC.

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I. Introduction

A. Mandat

1.   Le Mécanisme technologique a été instauré par la Conférence des Parties à sa seizième session[1] en vue d'améliorer l'action menée dans le domaine de la mise au point et du transfert des technologies climatiques. Ce mécanisme se compose de deux organes : le Comité exécutif de la technologie (CET), qui est son organe d'élaboration des politiques, et le Centre et Réseau des technologies climatiques (CRTC), qui est son organe d'exécution.

2.   À sa dix-septième session, la Conférence des Parties a décidé d'arrangements visant à rendre le Mécanisme de technologie pleinement opérationnel en 2012, a adopté le mandat du CRTC[2] et a entériné le processus de sélection de l'entité qui accueillerait le Centre des technologies climatiques[3]. Elle a aussi demandé au secrétariat, sous réserve que des ressources soient disponibles, de faire procéder à un examen indépendant du bon fonctionnement du Centre et Réseau des technologies climatiques quatre ans après sa création. Les résultats de cet examen, notamment toute recommandation visant à améliorer le fonctionnement du Centre et Réseau des technologies climatiques, seraient examinés par la Conférence des Parties. Ensuite, un examen périodique indépendant du bon fonctionnement du CRTC serait mené tous les quatre ans[4].

3.   À la suite d'une procédure d'appel d'offres conforme aux règles de l'ONU, le secrétariat a chargé Ernst and Young et Associés (ci-après « le consultant ») de procéder à l'examen indépendant du bon fonctionnement du CRTC.

B. Mesures que pourrait prendre la Conférence des Parties

4.   La Conférence des Parties sera invitée à examiner les résultats de l'examen indépendant du bon fonctionnement du CRTC et les recommandations formulées dans ce cadre, et à se prononcer sur l'opportunité de prendre des mesures pour améliorer les résultats du CRTC.

II. Résumé analytique

A. Contexte de l'examen

5.   À sa dix-septième session, la Conférence des Parties a demandé au secrétariat, sous réserve que des ressources soient disponibles, de faire procéder à un examen indépendant du bon fonctionnement du Centre et Réseau des technologies climatiques quatre ans après sa création. Les résultats de cet examen, notamment toute recommandation visant à améliorer le fonctionnement du Centre et Réseau des technologies climatiques, doivent être examinés par la Conférence des Parties.

6.   À la suite d'une procédure d'appel d'offres conforme aux règles de l'ONU, le secrétariat a chargé Ernst and Young et Associés de procéder à l'examen indépendant du bon fonctionnement du CRTC.

7.   Le CRTC assure trois services essentiels : 1) il fournit une assistance technique aux pays en développement qui en font la demande ; 2) il donne accès à l'information et aux connaissances relatives aux technologies climatiques ; 3) il organise des activités de sensibilisation et de collaboration à l'intention des acteurs des technologies climatiques.

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[1] Décision 1/CP.16, par. 117.
[2] Décision 2/CP.17, par. 133.
[3] Décision 2/CP.17, par. 136.
[4] Décision 2/CP.17, annexe VII, par. 20.

8.   Le Réseau est un élément fondamental du CRTC. Il lui permet de mobiliser l'appui des différents acteurs au profit de ses trois services essentiels.

9.   Les activités du CRTC s'appuient sur des entités nationales désignées, qui jouent un rôle de coordination entre les acteurs nationaux et le CRTC. Les entités nationales désignées soutiennent les activités du CRTC dans les pays en traitant les demandes d'assistance technique (pour ce qui est des pays en développement), en facilitant la participation au Réseau, et en coordonnant les activités régionales et mondiales d'apprentissage mutuel, de collaboration, de suivi et de remontée de l'information.

B.   Résultats obtenus par le Centre et Réseau des technologies climatiques

10.   Au mois d'avril 2017, le CRTC avait reçu 181 demandes d'assistance technique, dont 13 avaient été traitées, 49 en étaient au stade de la mise en œuvre, 40 au stade de la conception, 29 étaient en cours de révision et 50 étaient en attente.

11.   Grâce à ses outils de communication et à son système de gestion de la connaissance, le CRTC fournit des informations sur ses activités et sur les technologies climatiques. Au mois de décembre 2016, son site Internet était riche de 10 768 ressources émanant de diverses sources, dont des membres du Réseau. Le CRTC a organisé 75 webinaires, auxquels ont participé plus de 2 200 personnes.

12.   De 2013 à 2016, le CRTC a tenu 21 forums et ateliers régionaux de formation destinés aux entités nationales désignées, l'objectif étant de garantir un flux soutenu de demandes de qualité de la part des pays en développement. Environ 650 personnes y ont participé, dont des représentants d'entités nationales désignées de plus de 134 pays. Le CRTC a aussi organisé trois forums des parties prenantes pour instaurer un dialogue avec le secteur privé.

13.   Le CRTC apporte un appui tout particulier aux entités nationales des pays les moins avancés (PMA) grâce à son programme d'incubateur, dans le cadre duquel il propose des activités de formation spécialisée et intensive. Au mois de mars 2017, 19 pays y avaient pris part, et 14 demandes d'assistance technique avaient été déposées.

C.   Conclusions de l'examen

1.   Pertinence

14.   Le Programme des Nations Unies pour l'environnement (PNUE), en partenariat avec l'Organisation des Nations Unies pour le développement industriel (ONUDI), a conçu la structure organisationnelle de l'équipe de base du CRTC et lui apporte un soutien administratif et logistique. Le PNUE et l'ONUDI, avec l'appui de l'équipe de base, ont contribué de manière satisfaisante au mandat confié au CRTC par la Conférence des Parties. Le CRTC est sensible aux besoins des pays en développement et il a fait la démonstration de sa valeur ajoutée dans l'écosystème mondial des organisations d'appui aux technologies climatiques. Les bénéficiaires des services du CRTC se disent très satisfaits ; ils apprécient la qualité des travaux préparatoires menés par le CRTC, ainsi que la réactivité de ses services d'assistance et leur adaptation aux besoins.

15.   Le CRTC s'est employé à favoriser les synergies avec les institutions financières, notamment le Fonds pour l'environnement mondial (FEM) et le Fonds vert pour le climat, et avec les partenaires techniques, afin d'éviter les doublons et d'accroître les effets de ses activités.

2.   Efficacité

16.   Le CRTC a obtenu des résultats conformes − dans certains cas supérieurs − aux attentes dans les domaines de la gestion de la connaissance, de l'apprentissage mutuel et du renforcement des capacités. Toutefois, il n'a pas atteint ses objectifs en ce qui concerne les projets d'assistance technique et les activités de mise en réseau, comme on peut le voir ci-après :

a)   Les interventions et projets d'assistance technique du CRTC ont été moins nombreux que prévu mais ils ont bien répondu aux demandes des entités nationales désignées et des bénéficiaires ;

b)   Le système de gestion de la connaissance a efficacement appuyé la mise en œuvre des opérations et activités du CRTC ;

c)   Le nombre d'activités de renforcement des capacités réalisées a été conforme aux prévisions et ces activités ont effectivement permis aux entités nationales désignées de recenser et de soumettre des demandes pertinentes. Les entités nationales désignées ont mis en lumière le soutien actif du CRTC et ont exprimé leur satisfaction ;

d)   Le CRTC a partiellement réalisé ses objectifs relatifs à la sensibilisation, à la mise en réseau et à la mobilisation des parties prenantes. Il fait de l'opérationnalisation des services d'assistance technique et de l'autonomisation des entités nationales désignées une priorité, ce qui a débouché sur une moindre mobilisation des autres parties prenantes et des membres du Réseau.

17.   Le manque de prévisibilité et de sécurité des ressources financières a, tout comme le manque de ressources humaines et administratives du CRTC et les capacités des entités nationales désignées, considérablement pesé sur la capacité du CRTC à fournir des services du niveau attendu.

3.   Efficience

18.   Le partenariat entre le PNUE et l'ONUDI et l'organisation décentralisée des partenaires du groupement ont contribué à la bonne mise en œuvre des activités du CRTC. Le groupement offre un bon équilibre entre expertise fondamentale et expertise régionale et il dispose d'une couverture mondiale. Les orientations fournies par le Conseil consultatif du CRTC ont contribué à l'efficience opérationnelle du groupement.

19.   Le CRTC s'est montré efficient dans la priorisation de ses activités et pragmatique dans l'allocation de ses ressources. Il a su s'adapter à un contexte extérieur fluctuant en ce qui concerne les finances disponibles, les besoins exprimés par les pays en développement et les orientations politiques.

20.   Des axes d'amélioration ont été déterminés en vue de réduire les délais constatés dans la mise en œuvre des projets d'assistance technique. Ces délais s'expliquent principalement par : 1) le manque de ressources et les lacunes de la gouvernance locale, qui empêchent parfois les entités nationales désignées des pays en développement de s'acquitter de leur mission de la manière la plus efficiente ; 2) la multiplicité des acteurs qui participent au processus et à la prise de décision ; 3) les ressources humaines limitées dont disposent l'équipe de base du CRTC et les partenaires du groupement.

4.   Effets et durabilité

21.   Certains effets concrets des activités du CRTC (par exemple la conception de politiques et de lois relatives à l'énergie, ou la définition de feuilles de route pour le développement et les transferts de technologies climatiques) ont déjà été examinés, mais du point de vue de la qualité. Le CRTC a fait la preuve de sa capacité à engager des projets qui peuvent tirer avantage d'un financement à plus grande échelle par le Mécanisme financier ou par les banques multilatérales de développement.

22.   Le caractère récent du CRTC et la nature de ses activités, qui préfigurent des transformations plus larges et à plus long terme, font qu'il a été difficile jusqu'à présent d'évaluer les effets de l'action du CRTC en matière d'atténuation des changements climatiques et d'adaptation à ces changements, puisque ces effets n'apparaîtront que plusieurs années après la fourniture d'une assistance technique. En outre, le cadre de suivi et d'évaluation du CRTC ne permet pas pour le moment d'évaluer les effets à grande échelle des services fournis.

23.   Les parties prenantes notent que le CRTC a probablement d'autres effets positifs non intentionnels, notamment sur le développement local, la protection de l'environnement et l'égalité des sexes.

D. Recommandations

24. Le consultant a formulé un certain nombre de recommandations visant à améliorer les résultats du CRTC (voir ci-après le chapitre V, partie C). Ces recommandations portent sur des aspects liés à la gouvernance et à l'organisation du CRTC, à son financement, à ses trois services essentiels et aux modalités de suivi, d'évaluation et de présentation de rapports.

III. Méthodologie de l'examen

25. Le consultant (voir par. 3 ci-dessus) 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 Conférence des Parties et des besoins d'appui des pays ? Il s'agit ici d'examiner la cohérence du cadre d'action du CRTC tel qu'il a été conçu et mis en place par le PNUE et l'ONUDI, ainsi que sa pertinence par rapport au contexte extérieur ;

b) **Efficacité.** Le CRTC a-t-il atteint ses objectifs en ce qui concerne ses trois services essentiels ? Il s'agit ici d'évaluer les services fournis et les résultats obtenus par le CRTC en les comparant aux cibles et objectifs fixés et en prenant en considération les conditions réelles de fonctionnement ;

c) **Efficience.** Le CRTC a-t-il atteint ses objectifs en temps voulu et en utilisant les ressources de manière optimale, en ce qui concerne la création du groupement et le déploiement de ses services ? Il s'agit ici d'évaluer la mise en place opérationnelle du CRTC en la comparant aux prévisions et en recensant les difficultés rencontrées et les facteurs de réussite ;

d) **Effets et durabilité.** Le CRTC a-t-il obtenu les résultats attendus et produit des effets à long terme, positifs et reproductibles ? Il s'agit ici de recenser les résultats observés et de les comparer aux résultats attendus, et d'évaluer la probabilité d'effets positifs et à long terme, ainsi que leur caractère reproductible.

26. Pour chacune de ces questions, le consultant a élaboré une grille d'évaluation comportant des sous-questions et défini des indicateurs et les sources de données à utiliser pour répondre aux questions (voir annexe IV).

27. La figure 1 fait apparaître la portée de chacune des questions d'évaluation ainsi que les liens entre ces questions.

Figure 1
Cadre d'évaluation de l'examen
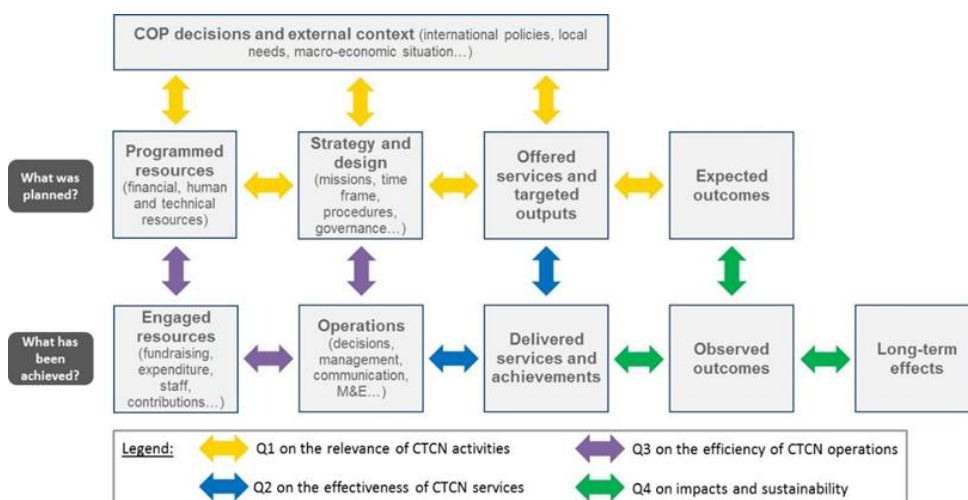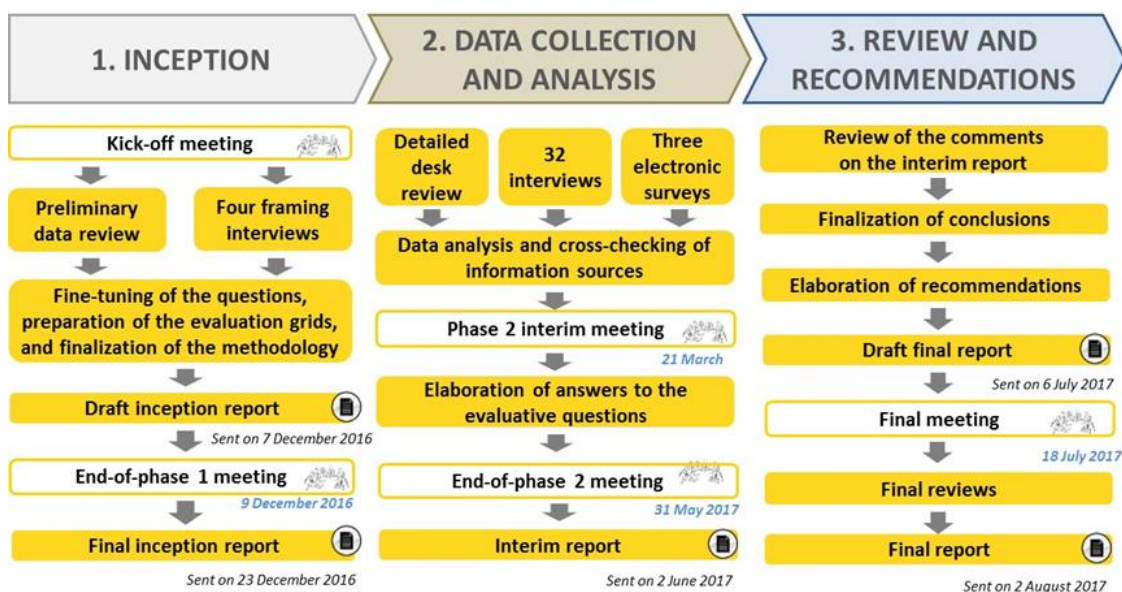

Source : Ernst and Young et Associés.

Abréviations : COP = Conference of the Parties, CTCN = Climate Technology Centre and Network, M&E = monitoring and evaluation.

28. Afin de remplir sa mission d'examen indépendant, le consultant a élaboré la méthodologie ci-après :

a) Phase de lancement ;

b) Phase de recueil et d'analyse des données, y compris les activités suivantes :

i) Tour d'horizon de la documentation existante, notamment en ce qui concerne la stratégie du CRTC, sa gouvernance, son fonctionnement, ses services et ses résultats (voir annexe V) ;

ii) Entretiens avec 36 parties prenantes au CRTC, y compris des représentants du secrétariat, le Directeur du CRTC, des membres du personnel du CRTC venant du PNUE et de l'ONUDI, des donateurs, des membres actuels et passés du Conseil consultatif du CRTC, des partenaires du groupement, des partenaires stratégiques, des membres du Réseau, des représentants des entités nationales désignées et des bénéficiaires d'une assistance technique (voir annexe VI) ;

iii) Trois enquêtes menées par voie électronique auprès de 71 entités nationales désignées, de 121 membres du Réseau et participants aux événements organisés par le CRTC, et de 39 bénéficiaires d'une assistance technique (voir annexe VII) ;

iv) Participation, en tant qu'observateur, à la neuvième réunion du Conseil consultatif, tenue du 3 au 5 avril 2017 ;

c) Phase d'examen et de formulation de recommandations.

29. La figure 2 présente l'approche méthodologique retenue pour l'examen. Ce travail a été mené entre octobre 2016 et août 2017.

Figure 2
Approche méthodologique de l'examen

Source : Ernst and Young et Associés.

IV. Centre et Réseau des technologies climatiques

A. Contexte et mandat

30.   Le Mécanisme technologique, composé du CET et du CRTC, a été institué par la Conférence des Parties à sa seizième session (voir par. 1 ci-dessus). S'appuyant sur le mandat qu'elle avait conféré au CRTC[5], la Conférence des Parties a précisé le fonctionnement du CRTC dans ses décisions suivantes, qui précisent la structure du groupement et les services qu'il doit fournir :

a)   À sa dix-septième session, la Conférence des Parties a adopté le mandat du CRTC, qui fixe les principes directeurs de sa mission, de sa gouvernance et de sa structure organisationnelle[6] ;

b)   À sa dix-huitième session, la Conférence des Parties a retenu le PNUE, chef de file du groupement d'institutions partenaires, comme entité hôte du Centre des technologies climatiques pour un mandat initial de cinq ans qui pourrait être renouvelé si la Conférence des Parties en décidait ainsi à sa vingt-troisième session (novembre 2017)[7]. Les fonctions et rôles respectifs de la Conférence des Parties, du PNUE, du CRTC et des partenaires du groupement, ainsi que les dispositions financières relatives à l'hébergement du Centre des technologies climatiques ont été officialisés dans un mémorandum d'accord, adopté par la Conférence des Parties à sa dix-huitième session[8] et signé par le PNUE ;

c)   À sa dix-neuvième session, la Conférence des Parties a adopté les modalités et procédures du Centre et Réseau des technologies climatiques[9], ouvrant ainsi la voie à la mise en fonctionnement du CRTC et au lancement de ses opérations. En annexe I à cette même décision sont définis les rôles et responsabilités du CRTC, ses relations avec le CET, les modalités de partage de l'information et de la connaissance et les trois services essentiels à délivrer.

B. Structure

31.   La figure 3 décrit l'organisation du CRTC. Les principales parties prenantes et institutions participant à la gouvernance et au fonctionnement du CRTC sont présentées ci-dessous.

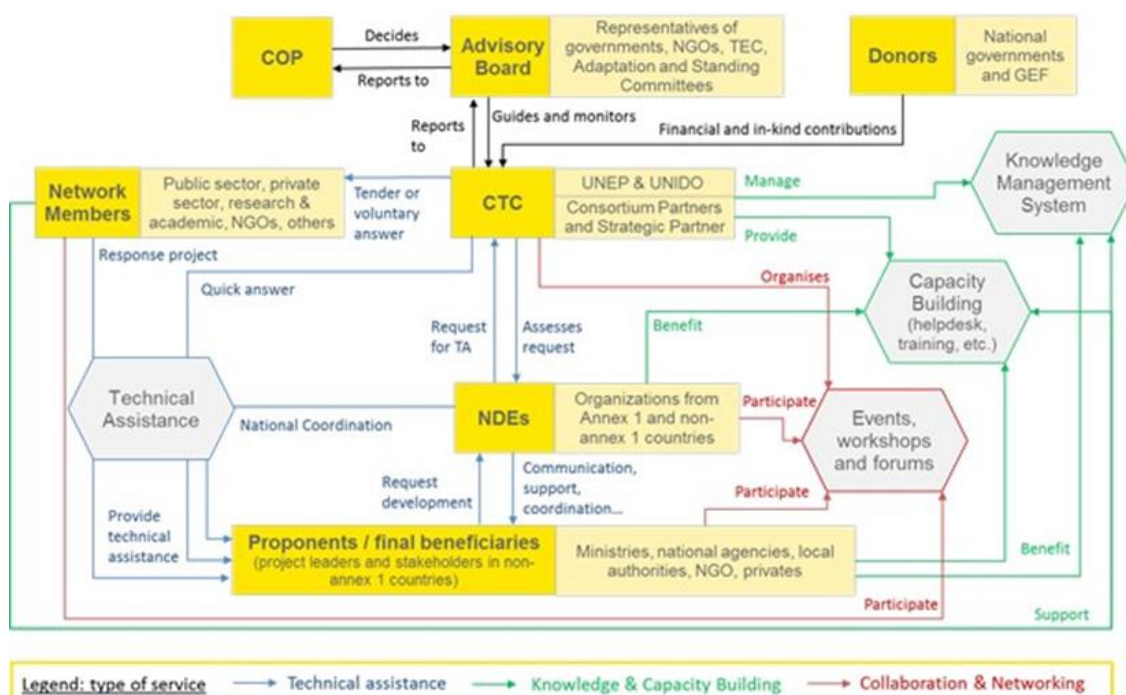[5] Décision 1/CP.16, par. 123.
[6] Décision 2/CP.17, par. 133.
[7] Décision 14/CP.18, par. 2.
[8] Décision 14/CP.18, par. 3.
[9] Décision 25/CP.19, par. 2.

Figure 3
Organisation du Centre et Réseau des technologies climatiques

Source : Ernst and Young et Associés, à partir des données du Centre et Réseau des technologies climatiques.

Abréviations : COP = Conference of the Parties, CTC = Climate Technology Centre, GEF = Global Environment Facility, NDEs = national designated entities, NGOs = non-governmental organizations, TA = technical assistance, TEC = Technology Executive Committee, UNEP = United Nations Environment Programme, UNIDO = United Nations Industrial Development Organization.

1. Conseil consultatif

32.   Créé par la Conférence des Parties à sa dix-huitième session[10], le Conseil consultatif du CRTC propose des orientations, approuve les procédures, les rapports et les programmes de travail, entérine le budget et les états financiers, et surveille et évalue la ponctualité et le bien-fondé des réponses du Centre et Réseau des technologies climatiques aux demandes qui leur sont adressées[11]. La constitution du Conseil consultatif[12] a été arrêtée par la Conférence des Parties à sa dix-huitième session.

2. Centre des technologies climatiques

33.   Le CTC, administré par le PNUE en coopération avec l'ONUDI, est soutenu par un groupement de 11 organisations partenaires (voir fig. 4). Le CTC est chargé de coordonner et de fournir les services proposés par le CRTC.

34.   Les modalités de la collaboration entre le PNUE, l'ONUDI et les membres du groupement sont définies dans des mémorandums d'accord distincts. Le CRTC n'est pas administré comme une institution indépendante, mais plutôt comme un projet commun au PNUE et à l'ONUDI, et il est régi par différentes procédures internes à ces deux organisations.

35.   À sa dix-huitième session[13], la Conférence des Parties a encouragé le PNUE à nommer le directeur et à recruter le personnel du Centre des technologies climatiques. Cinq cadres et deux agents administratifs sont basés dans les bureaux de l'ONU à Copenhague. Ils bénéficient

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[10] Décision 14/CP.18, par. 5.
[11] Décision 2/CP.17, annexe VII, par. 9.
[12] Décision 14/CP.18, annexe II.
[13] Décision 14/CP.18, par. 9.

de l'appui de consultants (des experts régionaux et des experts techniques) et de ressources humaines du PNUE et de l'ONUDI (dont un coordinateur pour chacune de ces organisations).

Figure 4

Couverture géographique des partenaires du groupement du Centre des technologies climatiques
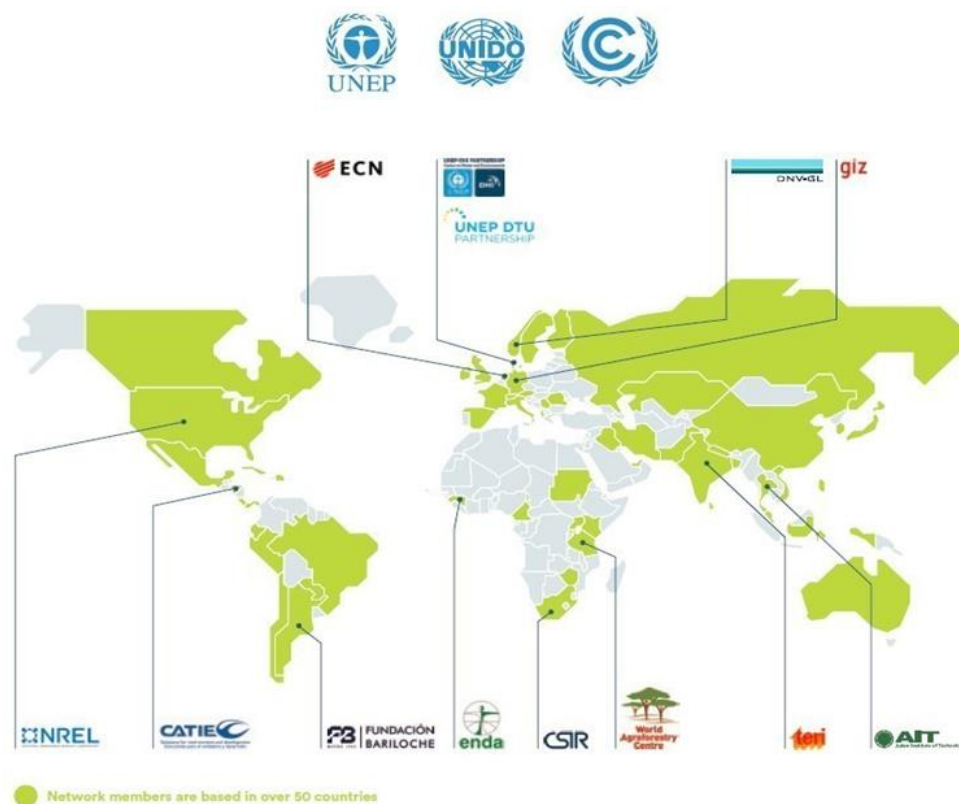
Source : Rapport d'activité 2016 du CRTC. Disponible à l'adresse : https://www.ctc-n.org/sites/www.ctc-n.org/files/ctcn-ar16-bookcover-lowres.pdf

3. Réseau

36. Le Réseau du CRTC est un élément essentiel du groupement. Il a pour objectif de mobiliser diverses parties prenantes à même d'appuyer les activités du CRTC[14] : 1) en apportant l'assistance technique correspondant à leur expertise afin de répondre aux demandes des pays ; 2) en échangeant des informations et en mettant à disposition des experts pour assurer des webinaires, des formations en ligne et d'autres types de formation, via le système de gestion de la connaissance ; 3) en contribuant activement aux manifestations et aux activités organisées par le CRTC.

37. L'adhésion au Réseau est gratuite. Depuis sa création, le Réseau a connu une croissance exponentielle. Au mois de mars 2017, il comptait 265 organisations issues de 64 pays, qui présentaient les caractéristiques suivantes[15] :

a) Quarante-six pour cent d'entre elles étaient enregistrées dans des Parties visées à l'Annexe I de la Convention, 50 % étaient enregistrées dans des Parties non visées à l'Annexe I de la Convention, et les 4 % restants étaient des organisations internationales ;

b) Les membres du Réseau jouissaient d'une expertise dans les secteurs déterminés par le CRTC, et il y avait davantage de membres actifs dans le domaine de l'atténuation (229) que dans le domaine de l'adaptation (161) ;

c) Les organisations du secteur privé étaient les plus nombreuses (35 %), suivies par les instituts de recherche et les établissements universitaires (24 %), les organisations non gouvernementales (14 %), les organisations à but non lucratif (10 %) et les organismes

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[14] Voir Conseil consultatif du CRTC, document AB/2015/5/9.

[15] https://www.ctc-n.org/network/network-visualizations.

publics (10 %). Quinze organisations internationales, régionales et partenariats sont membres du Réseau.

4. Entités nationales désignées

38.   Les entités nationales désignées[16] sont des intermédiaires entre les acteurs nationaux pertinents et le CRTC. L'action du CRTC est guidée par le principe d'appropriation locale et nationale et vise à répondre aux besoins exprimés par les pays, aussi est-il nécessaire que les Parties établissent des entités nationales désignées pour participer au processus du CRTC. Au mois d'avril 2017, 157 pays développés et en développement disposaient d'entités nationales désignées. Les entités nationales désignées assurent la coordination des activités du CRTC dans leur pays et centralisent les demandes des ministères concernés, des autres mécanismes de la Convention-cadre des Nations Unies sur les changements climatiques (CCNUCC), du secteur privé, de la société civile et des milieux universitaires. Elles soutiennent les activités du CRTC dans les pays en traitant les demandes d'assistance technique (pour ce qui est des pays en développement), en facilitant la participation au Réseau et en coordonnant les activités régionales et mondiales d'apprentissage mutuel, de collaboration, de suivi et de remontée de l'information.

C.   Services

39.   Le PNUE et l'ONUDI se sont employés à traduire en termes opérationnels les mandats confiés par la Conférence des Parties. Le programme de travail quinquennal initial du CRTC pour la période 2013-2017[17] a été approuvé par le Conseil consultatif en 2013. Il définit le fonctionnement, les services, les activités, le calendrier et le budget du CRTC.

40.   Selon les termes du programme de travail, le CRTC a pour objectif de permettre aux pays en développement parties à la CCNUCC d'acquérir les capacités, les outils et le savoir-faire nécessaires pour élaborer des technologies d'atténuation des changements climatiques et d'adaptation à leurs effets et pour les améliorer.

41.   Le programme de travail définit aussi les trois services essentiels du CRTC : 1) apporter une assistance technique aux pays en développement qui en font la demande ; 2) offrir un accès à l'information et aux connaissances sur les technologies climatiques ; 3) organiser des activités de sensibilisation et de mise en réseau des acteurs du secteur des technologies climatiques. Ces services essentiels ont légèrement évolué avec le temps.

42.   Le programme de travail a été déterminé en fonction d'un financement prévisionnel de 100 millions de dollars des États-Unis pour les cinq premières années de fonctionnement (voir tableau 1).

Tableau 1
Financement indicatif

Composante/sous-composante/produit	Montant estimé (Dollars des États-Unis)
Assistance technique en réponse aux demandes des pays	75 500 000
Sensibilisation, mise en réseau et mobilisation du secteur privé	7 000 000
Gestion de la connaissance, apprentissage mutuel et renforcement des capacités	7 250 000
Coûts de mise en place et de fonctionnement	10 250 000
Total	**100 000 000**

43.   Le CRTC s'est appuyé sur son programme de travail pour la période 2013-2017 afin d'établir ses plans d'exploitation annuels, qui ont été entérinés par le Conseil consultatif. Ces plans définissent des objectifs quantitatifs relatifs aux produits et aux résultats des

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[16] http://unfccc.int/ttclear/support/national-designated-entity.html.

[17] CRTC, 2013. Draft Programme of Work : Climate Technology Centre and Network. Disponible à l'adresse : https://www.ctc-n.org/sites/www.ctc-n.org/files/f2137b4434244bdeafe3a24bad2c5273.pdf.

opérations du CRTC. La figure 5 présente le cadre logique des trois premières années de fonctionnement, pour lesquelles le budget prévisionnel a été fixé à 38,3 millions de dollars É.-U. : 11 % de ce montant correspondent au financement du fonctionnement du CRTC, 89 % au financement de ses services essentiels. Pour chaque activité, des objectifs de produits et de résultats ont été définis par le CRTC. Les effets directs des produits ont également été recensés et quantifiés. L'effet ultime attendu de l'action du CRTC est indiqué à droite de la figure 5.

Figure 5
Logique d'intervention et objectifs cumulés pour les trois premières années de fonctionnement
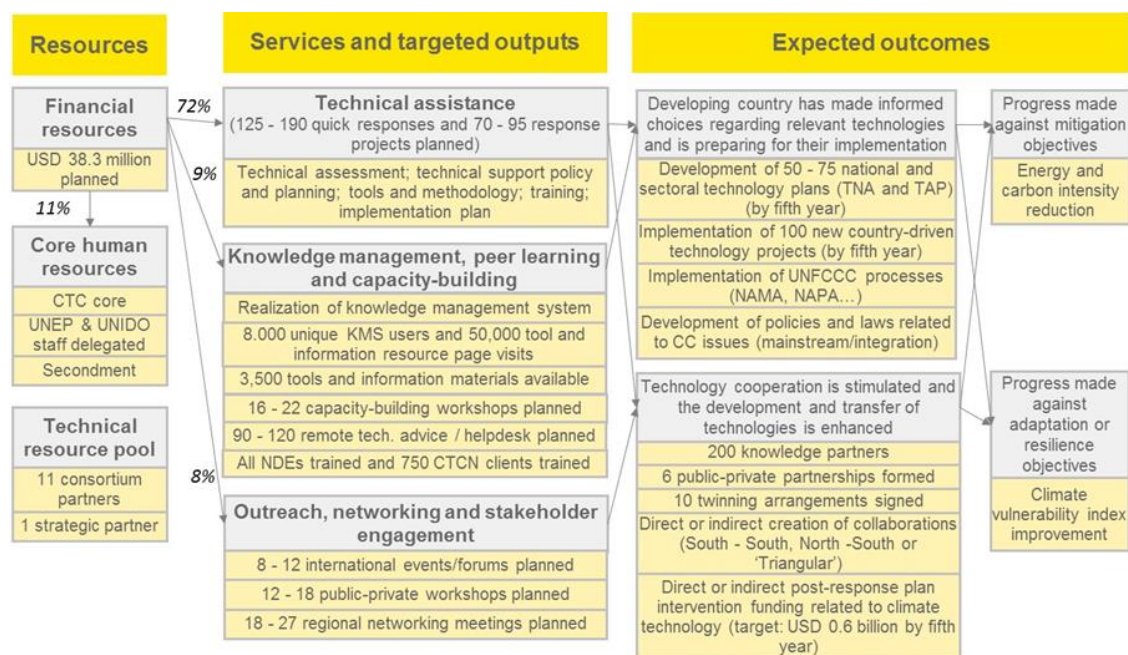
Source : Ernst and Young et Associés, à partir de données du CRTC.

Note : Sauf indication contraire, les chiffres correspondent aux ressources et produits cumulés à la troisième année de fonctionnement, sur la base des trois premiers plans d'exploitation annuels. Cette logique d'intervention ayant été revue par le consultant, elle diffère du cadre logique figurant dans le programme de travail.

Abréviations : CC = climate change, CTC = Climate Technology Centre, CTCN = Climate Technology Centre and Network, KMS = knowledge management system, NAMA = nationally appropriate mitigation action, NAPA = National Adaptation Programmes of Action, NDEs = national designated entities, TAP = technology action plan, TNA = technology needs assessment, UNEP = United Nations Environment Programme, UNFCCC = United Nations Framework Convention on Climate Change, UNIDO = United Nations Industrial Development Organization.

44.   On trouvera de plus amples détails sur les progrès réalisés par le CRTC dans la mise en œuvre de ses trois services essentiels à l'annexe VIII.

D.   Financement et dépenses

45.   Le CRTC a cherché des moyens de financement conformément à la décision 2/CP17. En septembre 2014, il avait obtenu 26,6 millions de dollars[18]. Au cours des deux années suivantes, 4,3 millions de dollars É.-U. lui ont encore été versés[19]. En juin 2015, un montant de 1,8 million de dollars É.-U. lui a été versé par le FEM. En outre, le PNUE, l'ONUDI et les partenaires du groupement ont apporté des contributions financières et des contributions en nature d'une valeur de plus de 5,8 millions de dollars É.-U.[20].

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[18] Voir document FCCC/SB/2014/3.

[19] Voir document FCCC/SB/2016/1.

[20] Voir document FCCC/SB/2013/1. Depuis 2014, d'autres contributions en nature ont été fournies et n'ont pas été enregistrées.

46.   En mars 2017, la majorité des financements obtenus par le CRTC (49,6 millions de dollars É.-U.) provenaient de donateurs bilatéraux. Au cours de la vingt-deuxième session de la Conférence des Parties, les annonces de contribution des Parties se sont élevées à 23 millions de dollars É.-U., et en mars 2017 des accords avaient été passés avec les donateurs pour un montant total de 20,5 millions de dollars É.-U..

47.   En avril 2017, des consultations étaient en cours entre le CRTC et les Gouvernements du Canada et des États-Unis d'Amérique concernant les 2,5 millions de dollars É.-U. restants. La figure 6 donne un aperçu des contributions apportées par les donateurs au CRTC.

Figure 6
Contributions volontaires
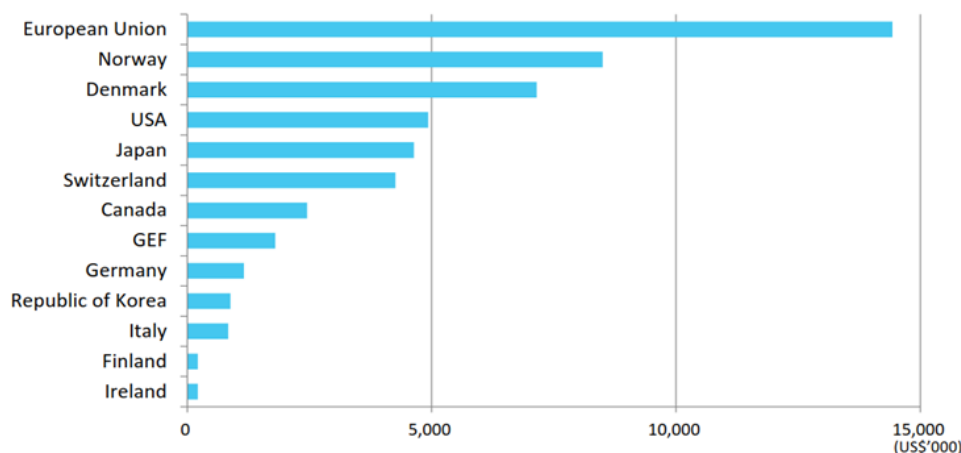
Source : Conseil consultatif du CRTC, document AB/2017/9/8.1.
Note : Chiffres de mars 2017. Comprend les accords passés avec les donateurs.

48.   Quarante-quatre pour cent des fonds du CRTC ont été affectés par les donateurs à des activités ou des régions spécifiques[21]. Le montant total dépensé par le CRTC pendant ses trois premières années de fonctionnement (de 2014 à 2016, y compris les derniers mois de 2013) s'est élevé à 25,6 millions de dollars É.-U..

E.   Suivi et évaluation

49.   Plusieurs décisions de la Conférence des Parties prévoient que le Conseil consultatif et le CRTC lui-même doivent suivre et évaluer les activités de ce dernier[22]. Le contrôle financier du CRTC est pris en charge par les mécanismes d'établissement de rapports financiers du PNUE et de l'ONUDI. Le suivi des activités d'assistance non technique et le calcul des indicateurs concernant les services fondés sur les connaissances fournis par le CRTC ont été définis de manière détaillée dans le cadre de procédures présentées pour la première fois à la septième réunion du Conseil consultatif et actualisées depuis[23]. Le suivi des activités d'assistance technique et le calcul des indicateurs concernant les services d'assistance technique du CRTC ont été définis de manière détaillée dans le cadre de procédures présentées pour la première fois à la cinquième réunion du Conseil consultatif et approuvées à sa sixième réunion[24]. Un examen de la qualité et de l'efficacité de l'ensemble du portefeuille et un examen général du cadre de suivi et d'évaluation sont prévus pour 2017. En tant que partenaire stratégique, DNV GL[25] a aidé le PNUE et l'ONUDI à élaborer ce système de suivi et d'évaluation.

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[21] Conseil consultatif du CRTC, document AB/2017/9/8.1.
[22] Voir décision 2/CP. 17, annexe VII, et décision 25/CP. 19, annexe I.
[23] Conseil consultatif du CRTC, document AB/2016/8/7.6. Consultable à l'adresse suivante : https://www.ctc-n.org/sites/www.ctc-n.org/files/ab20168_7.6_mande_process_and_procedures _v2_from_ab7.pdf.
[24] Conseil consultatif du CRTC, document AB/2015/6/7b.
[25] DNV GL était l'un des candidats présélectionnés par le secrétariat de la Convention pour accueillir le CRTC. Après la sélection du PNUE en tant qu'institution hôte, la Conférence des Parties a encouragé

V. Principales constatations, conclusions et recommandations issues de l'examen

A. Principales constatations

50. Les principales constatations présentées ci-après se fondent sur les contributions de diverses catégories de parties prenantes, qui ont été recoupées avec les données recueillies dans le cadre de l'examen sur dossier (pour plus de détails sur le processus d'examen, voir le chapitre III ci-dessus et les annexes V, VI, VII et VIII). Ces constatations sont fondées sur l'examen détaillé des résultats obtenus par le CRTC qui sont présentés à l'annexe IX. Elles sont le résultat des appréciations du consultant concernant les réponses aux questions d'évaluation définies lors de la phase de lancement de l'examen (voir par. 26 ci-dessus et annexe IV).

1. Pertinence

51. La valeur ajoutée du CRTC en termes d'appui au pays en développement dans le cadre du processus d'obtention de fonds internationaux et de mise en place d'un environnement propice a été reconnue par tous les participants à la procédure d'examen, ce malgré le grand nombre de donateurs et de fournisseurs d'assistance technique dans le domaine de la mise au point et du transfert de technologies relatives aux changements climatiques.

52. Dans l'ensemble, les activités du CRTC répondent aux besoins des pays en développement, qui apprécient l'intensité de ses travaux préparatoires et le caractère réactif et adapté de son assistance. À la demande du Conseil consultatif, le CRTC a davantage formalisé la référence aux plans nationaux et aux contributions déterminées au niveau national dans le formulaire de demande d'assistance technique pour faire en sorte que les pays justifient leurs demandes en fonction des priorités définies dans les documents nationaux[26].

53. Le programme de travail du CRTC pour 2013-2017 est aligné sur le mandat de la Conférence des Parties. Les plans opérationnels annuels sont aussi établis en fonction de ce mandat ainsi que des différentes décisions de la Conférence des Parties concernant les activités du CRTC. Le CRTC a donné suite aux décisions de la Conférence des Parties de la manière suivante :

a) Après l'entrée en vigueur de l'Accord de Paris, le CRTC a intégré dans son plan opérationnel annuel pour 2017 des éléments tels que les contributions déterminées au niveau national, les activités de recherche, de développement et de démonstration, et les capacités propres aux pays ;

b) Le CRTC a poursuivi et cherché à renforcer sa collaboration avec le Comité exécutif de la technologie[27] dans le cadre de réunions du Conseil consultatif, de rapports annuels conjoints et par d'autres moyens, mais, pendant l'examen, les personnes interrogées ont indiqué que cette collaboration pourrait être encore renforcée ;

c) Pour renforcer la coopération et la collaboration avec les entités fonctionnelles du mécanisme financier[28], le CRTC développe depuis 2016 un partenariat avec le Fonds vert pour le climat dans le cadre duquel les activités d'assistance technique et de renforcement des capacités menées par le CRTC facilitent l'élaboration de notes conceptuelles à soumettre au Fonds vert pour le climat et appuient la collaboration avec les centres de liaison du Fonds (les autorités nationales désignées). Cette collaboration permet

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le groupement à travailler avec d'autres soumissionnaires. En conséquence, le groupement a établi un partenariat stratégique avec DNV GL.

[26] CRTC. 2015. Key Discussion Points of the Fifth Advisory Board Meeting. Consultable à l'adresse suivante : https://www.ctc-n.org/sites/www.ctc-n.org/files/resources/AB%205_Key%20discussion%20points%20v1.5%2

[27] Décisions 25/CP.19, 1/CP.21, 12/CP.21, 13/CP.21 et 15/CP.22.

[28] Voir la décision 13/CP.21, par. 7.

d'obtenir des ressources financières supplémentaires, car des projets d'assistance technique identifiés par le CRTC sont financés par le mécanisme visant à préparer les pays à accéder au financement du Fonds[29] ;

d) Les ressources financières fournies par le FEM pour les activités du CRTC ont été affectées sur la base de projets ponctuels plutôt que dans le cadre d'un financement continu et ont donc été plutôt limitées (1,8 million de dollars É.-U.). Le FEM a mis en place et finance un réseau de centres régionaux sur les technologies climatiques accueillis par les banques multilatérales de développement (Banque africaine de développement, Banque asiatique de développement, Banque européenne pour la reconstruction et le développement et Banque interaméricaine de développement) et fournit des services similaires. Certains représentants de ces centres régionaux ont participé à des ateliers organisés par des entités nationales désignées ainsi qu'à d'autres réunions du CRTC[30]. La collaboration entre les centres régionaux asiatiques et américains, d'une part, et les entités nationales désignées et les partenaires du groupement du CRTC, d'autre part, est bien en place et formalisée, mais la coopération avec les centres régionaux européens et africains est plus limitée.

54. La plupart des activités décrites dans le programme de travail initial pour 2013-2017 ont été mises en œuvre, mais pas toutes (par exemple, le service d'assistance prévu n'a pas été créé). Le CRTC a lancé un certain nombre d'activités qui n'étaient pas prévues dans ce programme, notamment le programme d'incubateur pour les PMA, les programmes de détachement et l'organisation de webinaires. Ces changements de programme ont été approuvés par le Conseil consultatif et ont été jugés pertinents par les parties prenantes.

55. Au cours de l'examen, la majorité des personnes interrogées ont indiqué que le modèle de financement du CRTC fondé sur les contributions volontaires n'était pas approprié car il limite l'exécution et la réalisation de son mandat. Il a été signalé que le manque de fonds risquait de compromettre les activités du CRTC[31]. L'insuffisance des ressources financières a été le principal obstacle à la réalisation des objectifs fixés dans le programme de travail initial, en particulier pour ce qui concernait les projets d'assistance technique. En mars 2017, 31 demandes remplissant les conditions requises n'ont pas été considérées comme prioritaires en raison d'un manque de fonds[32]. Sans sources de financement additionnelles, le CRTC ne sera pas en mesure de continuer à fournir ses services de manière à répondre aux attentes croissantes des pays en développement.

56. L'aspect volontaire du modèle de financement entraîne un manque de prévisibilité pour le CRTC à moyen terme et même à court terme, ce qui limite sa capacité de planifier ses activités aux niveaux prévus.

57. Un autre problème réside dans le fait qu'une part importante (44 %) des ressources financières du CRTC sont affectées à des activités spécifiques et ne peuvent plus être alignées sur les priorités actuelles du CRTC. Douze pour cent des ressources sont consacrées à un domaine ou à des activités spécifiques (par exemple, une bibliothèque technologique) et ne sont pas disponibles pour des activités qui pourraient être plus prioritaires pour le CRTC. Trente-deux pour cent du montant total des fonds ont été engagés par le CRTC au titre du budget approuvé, conformément aux accords passés avec les donateurs, qui prévoient l'exécution pendant plusieurs années des activités ainsi financées. Toutefois, les activités considérées comme effectives par le CRTC peuvent ne pas correspondre à ce qui avait été établi dans les plans opérationnels annuels ou dans les accords conclus avec les donateurs (par exemple, il peut y avoir moins de demandes d'assistance technique que prévu, ou de nouveaux services peuvent être mis en œuvre, tels que le programme d'incubateur). Des ressources financières supplémentaires peuvent se libérer comme suite à l'exécution de certaines activités prévues dans le cadre du budget, mais ces ressources ne peuvent être utilisées pour financer des activités sans révision des accords passés avec les donateurs (qui acceptent une telle révision dans la plupart des cas).

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[29] En juillet 2017, deux projets d'assistance technique, au *Royaume des Tonga* et au Ghana, ont été acceptés ; l'un est en cours d'analyse par le Fonds vert pour le climat, et l'autre sera bientôt présenté.

[30] Voir document FCCC/CP/2016/6.

[31] Voir document FCCC/SB/2016/1.

[32] La répartition des demandes qui ne sont pas considérées comme prioritaires en raison d'un manque de fonds ou parce que le pays concerné a déjà présenté un grand nombre de demandes n'est pas connue.

58. En dépit des efforts déployés par le secrétariat du CRTC et de la participation du Conseil consultatif, ainsi que des annonces de contributions faites lors de la vingt-deuxième session de la Conférence des Parties et de la collaboration avec le Fonds vert pour le climat, le montant des fonds mis à disposition est inférieur à ce qui était prévu dans le programme de travail initial. Pour accroître l'effet de levier, le CRTC s'est engagé activement dans des collaborations avec le Fonds vert pour le climat, le FEM et les banques multilatérales de développement, ce qui a donné lieu à la mise en œuvre en collaboration de quelques projets d'assistance technique offrant des possibilités d'investissement à plus grande échelle.

2. Efficacité

59. La hiérarchisation des services fournis par le CRTC était conforme à son mandat : ses efforts se sont initialement concentrés sur le passage à la phase opérationnelle (formation des entités nationales désignées, définition des procédures, mise en place du système de gestion des connaissances, communications, etc.), et ces fonctions permettent maintenant le déploiement des activités d'assistance technique et de mise en réseau. Le CRTC a systématiquement veillé à assurer une couverture géographique équilibrée des bénéficiaires, l'accent mis sur les PMA étant encore renforcé par le programme d'incubateur.

60. La structure décentralisée du CRTC (avec la participation du PNUE, de l'ONUDI et de partenaires régionaux du groupement), le fait que les trois consultants spécialisés dans les activités du CRTC soient installés dans chacune des régions, et le développement des activités de renforcement des capacités au niveau régional (avec les forums régionaux et le programme d'incubateur) sont autant d'éléments qui ont contribué à l'autonomisation des entités nationales désignées et à la soumission de demandes pertinentes d'assistance technique. La répartition géographique et thématique des demandes d'assistance technique a été équilibrée. Toutefois, le nombre de demandes reçues par le CRTC a été moins élevé que prévu, et par conséquent le Centre a réalisé moins d'interventions et de projets d'assistance technique que prévu (voir tableau 2). Les projets exécutés ont répondu de manière appropriée aux demandes des entités nationales désignées et des bénéficiaires.

Tableau 2
Objectifs et résultats obtenus en matière d'assistance technique

Année après la création	Nombre d'interventions prévues[a]	Nombre révisé d'interventions prévues[b]	Nombre de nouvelles demandes des entités nationales désignées	Nombre de nouveaux projets en cours d'élaboration ou d'exécution ou achevés
Année 1 (2014)	6-10	6-10	20	15
Année 2 (2015)	70-105	70-100	55	27
Année 3 (2016)	120-170	120-170	82	55
Année 4 (2017)	160-230	90-130	28 (premier semestre)	8 (premier semestre)
Année 5 (2018)	180-250	-	-	-
Total	**550-780**	**266-410 (sur quatre ans)**	**185 (sur trois ans et demi)**	**105 (sur trois ans et demi)**

Source : Ernst & Young et Associés, sur la base de données du CRTC consultables à l'adresse https://www.ctc-n.org/technical-assistance/request-visualizations.

[a] Résultats escomptés dans le programme de travail initial pour 2013-2017.

[b] Résultats escomptés révisés en fonction des plans opérationnels annuels.

61. Le système de gestion des connaissances élaboré par le CRTC aide à la mise en œuvre de ses opérations et activités en assurant sa visibilité, en l'aidant à établir des rapports sur ses activités et en informant les parties prenantes des événements à venir. Les objectifs quantitatifs de développement et de fonctionnement (nombre de documents, de visites et d'utilisateurs) du système de gestion des connaissances ont tous été atteints (voir tableau 3), et les utilisateurs se sont dits satisfaits de ce système. Toutefois, lors de l'examen, la majorité des personnes interrogées ont déclaré qu'elles utilisaient rarement le système de gestion des connaissances, et certaines ont fait état de difficultés concrètes lors de la consultation du site Web du CRTC (par exemple, la structure du site n'était pas suffisamment conviviale, ou il manquait des informations). Il a été constaté que la bibliothèque technologique, contenant de nombreuses ressources, était trop peu utilisée, ce qui a justifié la décision prise par le Conseil consultatif de limiter son développement.

62. Les services de renforcement des capacités du CRTC se sont concentrés sur l'autonomisation des entités nationales désignées, tandis que les autres parties prenantes au niveau local ont participé de manière plus limitée à ces activités. Dans l'ensemble, les participants à ces activités ont été satisfaits et les ont jugés utiles. Ces activités de formation et de renforcement des capacités ont donné lieu à la présentation d'un plus grand nombre de demandes. Toutefois, quelques entités nationales désignées et membres du Réseau ont indiqué que les activités et les documents n'étaient pas disponibles dans un nombre suffisant de langues (en particulier les webinaires), que le calendrier des événements à venir manquait de clarté (les dates et les lieux des réunions étaient communiqués trop tard) et que les activités n'étaient pas assez fréquentes.

Tableau 3
Objectifs et résultats obtenus en matière de gestion du savoir, d'apprentissage mutuel et de renforcement des capacités

Produits	Objectifs cumulés pour les trois premières années (programme de travail pour 2013-2017)	Résultats obtenus à la fin de 2016	Résultats obtenus par rapport aux objectifs
Nombre d'interventions consultatives techniques à distance effectuées par le service d'aide aux utilisateurs	90–120	Pas entièrement réalisés[a]	Résultats inférieurs à l'objectif visé en raison de l'absence de demande des pays
Nombre d'ateliers de renforcement des capacités et de formations	16–22	21 forums régionaux	Résultats conformes à l'objectif visé
Outils et supports d'information, portant notamment sur les enseignements et les meilleures pratiques	3500	10 768 sur le site Web du CRTC	Résultats supérieurs à l'objectif visé
Nombre d'entités nationales désignées du CRTC formées	260	255 entités nationales désignées du CRTC formées en 2015 et 2016[b]	Résultats supérieurs à l'objectif visé[b, c]
Nombre de clients du CRTC formés	750	>1 500	
Nombre d'utilisateurs individuels du système de gestion des connaissances	8 000	104 851 utilisateurs du site Web du CRTC	Résultats supérieurs à l'objectif visé
Nombre de consultations de pages proposant des outils et des ressources d'information	50 000	145 138 consultations de pages du site Web du CRTC	Résultats supérieurs à l'objectif visé

Source : Ernst & Young et Associés, sur la base des données du CRTC.

Abréviations : CRTC = Centre et Réseau des technologies climatiques.

[a] Pour plus de détails, voir la section A concernant la pertinence et la sous-section sur l'évolution du programme de travail à l'annexe IX.

[b] Le CRTC indique avoir formé 150 représentants en 2015 (Conseil consultatif du CRTC, document AB/2015/6/6a) et 105 représentants en 2016 (Conseil consultatif du CRTC, document AB/2016/8/6b) sur la base du suivi des représentants des entités

nationales désignées ayant participé à des forums régionaux et au programme d'incubateur. Cependant, seul le nombre de participants a été enregistré, pas le nombre de représentants des entités nationales désignées formés.

[c] Le CRTC indique avoir formé 1200 clients en 2015 (Conseil consultatif du CRTC, document AB/2015/6/6a) et 377 clients en 2016 (Conseil consultatif du CRTC, document AB/2016/8/6b) sur la base du suivi des participants aux forums régionaux et aux webinaires. Toutefois, le nombre de clients formés n'a pas été enregistré.

63. Le CRTC a partiellement atteint ses objectifs en matière d'information, de constitution de réseaux et de participation des parties prenantes (voir tableau 4). Hormis les manifestations consacrées à la création de réseaux régionaux liés au renforcement des capacités, il a organisé peu d'ateliers et de manifestations internationales. Jusqu'à récemment, à l'exception des forums de parties prenantes, il a surtout mis l'accent sur les questions de fonctionnement. Les activités de sensibilisation, de mise en réseau et de mobilisation visaient principalement à autonomiser les entités nationales désignées (pendant les manifestations consacrées à la constitution de réseaux au niveau régional) et à faire connaître le CRTC et ses services parmi les bénéficiaires potentiels et les membres du Réseau (au moyen de la participation de représentants du CRTC aux manifestations internationales). Les interactions entre les membres du Réseau et les collaborations avec des parties prenantes au niveau local ont été limitées. Le CRTC a eu des difficultés à mobiliser le secteur privé, malgré ses partenariats avec DNV GL et le Réseau consultatif pour le financement privé ainsi que le lancement de plusieurs initiatives au cours des manifestations consacrées à la constitution de réseaux.

Tableau 4
Objectifs et résultats obtenus en matière d'information, de constitution de réseaux et de participation du secteur privé

Produits	Objectifs cumulés pour les trois premières années (programme de travail pour 2013–2017)	Résultats obtenus à la fin de 2016	Résultats obtenus par rapport aux objectifs
Nombre de manifestations ou forums internationaux consacrés aux technologies	8–12	Participation à 17 événements[a]	Résultats supérieurs aux objectifs visés mais certaines manifestations sont comptabilisées dans plusieurs indicateurs de performance clefs
Nombre d'ateliers régionaux concernant les secteurs public et privé	12–18	Participation à 20 ateliers[a]	
Nombre de réunions régionales de constitution de réseaux	18–27	Organisation de 21 forums régionaux[b]	
Nombre de partenaires dans le domaine des connaissances (partenaires ayant fourni des outils et des supports d'information pour le système de gestion des connaissances)	200	265 (mars 2017)	Résultats supérieurs à l'objectif visé

Source : Ernst & Young et Associés, sur la base de données du Centre et Réseau des technologies climatiques.

[a] Le CRTC a organisé certaines de ces manifestations, tels que le Forum des parties prenantes d'Afrique orientale sur les technologies respectueuses du climat, qui s'est tenu à Nairobi en 2016.

[b] Ces manifestations ont aussi été comptabilisées comme des activités de renforcement des capacités.

64. Le montant total des dépenses au cours des trois premières années écoulées depuis la création du CRTC (2014 à 2016) est inférieur de 40 % à celui prévu dans les plans opérationnels annuels (voir le tableau 5). Cet écart s'explique en grande partie par les facteurs suivants :

a) La mise en service opérationnelle du CRTC (procédures d'établissement, formation des entités nationales désignées, activités de communication, etc.) a pris plus de temps que prévu initialement et, par conséquent, le CRTC a commencé à fournir ses services avec un certain retard ;

b) Le CRTC a reçu moins de demandes d'assistance technique émanant de pays en développement que prévu, en particulier pendant la première année et, par conséquent, il n'a pas mis en œuvre autant de projets d'assistance technique que prévu ;

c) Le CRTC a dû faire face à des contraintes financières qui ont limité ses activités.

Tableau 5
Budget et dépenses
(dollars É.-U.)

Année après la création	Total des recettes (contributions volontaires)	Budget initial (programme de travail pour 2013-2017)	Budget révisé (plans opérationnels annuels pour 2015, 2016, 2017)	Total des dépenses (états financiers annuels)	Écart (dépenses/ budget révisé) (%)
Année 0 (2013)	12 020 000	–	–	410 000	–
Année 1 (2014)	4 670 000	4 300 000	4 300 000	6 760 000	+57
Année 2 (2015)	10 790 000	12 000 000	14 500 000	11 000 000*a*	–24
Année 3 (2016)	10 990 000	22 000 000	23 700 000	7 380 000	–69
Total	**38 470 000**	**38 300 000**	**42 500 000**	**25 630 000**	**–40**

Source : Ernst & Young et Associés, sur la base de données du Centre et Réseau des technologies climatiques.

Note : le budget n'inclut pas les contributions en espèces et en nature du PNUE, de l'ONUDI et des partenaires du groupement.

a Dépenses pour 2015 après ajustement pour tenir compte des obligations qui n'avaient pas été prises en considération dans les états financiers préliminaires. Les chiffres pour 2016 sont basés sur les états préliminaires.

3. Efficience

65. Le Conseil consultatif a fourni au secrétariat du CRTC des orientations pertinentes concernant l'exécution de son mandat et des questions stratégiques. Les équipes spéciales se sont avérées efficaces pour approfondir l'étude de certaines questions. Compte tenu de la nature des travaux du CRTC et des attentes croissantes des pays en développement, il est nécessaire de renforcer les compétences techniques du Conseil consultatif pour qu'il puisse continuer de fournir des orientations stratégiques adéquates. La participation des présidents du Comité exécutif de la technologie aux réunions du Comité consultatif ainsi qu'à d'autres mécanismes permettant la collaboration entre le CET et le CRTC contribuent à l'acquisition de ces compétences. Il est apparu que l'absence de cadre permettant de débattre des arrangements avec les donateurs limitait l'efficience du Conseil consultatif.

66. La transparence et l'obligation redditionnelle du CRTC s'agissant de ses activités et de ses ressources financières ont été progressivement renforcées. Toutefois, les membres du Conseil consultatif souhaitent disposer de comptes rendus plus fréquents sur ces questions entre les réunions du Conseil. Les donateurs qui sont également membres du Conseil consultatif ont réclamé des informations plus détaillées attestant de la bonne utilisation de leurs fonds, en toute transparence et dans le souci de l'optimisation des ressources. Le manque de transparence des dispositions contractuelles entre le CRTC et ses donateurs a été signalé lors de l'examen.

67. Le partenariat entre le PNUE et l'ONUDI a été jugé efficace pour ce qui est de l'exécution du mandat du CRTC. Les deux organisations ont des compétences complémentaires et ont clairement défini leur rôle et mobilisé leurs propres ressources, réseaux et méthodes pour faciliter la mise en œuvre opérationnelle du CRTC et veiller à son intégration dans les mécanismes de la Convention-cadre des Nations Unies sur les changements climatiques et de la Conférence des Parties.

68. Les ressources humaines allouées au départ au CTC étaient plutôt limitées par rapport à son champ d'activité. Pour atteindre les objectifs fixés, le PNUE et l'ONUDI ont dû solliciter l'appui des partenaires du groupement et mobiliser les membres du Réseau. L'équipe de base du CTC a pu fournir l'expertise nécessaire aux entités nationales désignées et aux bénéficiaires et leur apporter un soutien approprié, malgré le manque de compétences en matière d'adaptation et les difficultés liées au fait que plusieurs postes étaient vacants, en raison de départs non prévus.

69. Une feuille de route concernant la mise en œuvre et la fourniture des services a été définie par le CRTC dans son programme de travail initial pour 2013-2017, approuvé par le Conseil consultatif en 2013. Le programme a été revu chaque année en fonction des fonds dont disposait le CRTC et des besoins exprimés par les pays en développement. Malgré l'engagement résolu du groupement, la mise en place des services du CRTC a pris plus de temps que prévu, principalement en raison du manque de ressources (pour plus de détails, voir le sous-chapitre du chapitre B de l'annexe IX sur les retards dans l'opérationnalisation du CRTC).

70. L'organisation régionalisée du CRTC, qui repose sur l'implantation de partenaires dans leur région de compétence, a fortement contribué à appuyer la mise en place du CRTC. Le groupement a pu faciliter les communications du CRTC, examiner et soumettre les demandes d'assistance technique et contribuer à l'organisation des manifestations régionales. Les partenaires du groupement ont donné de précieux conseils au CTC concernant l'évaluation des nouvelles demandes et l'élaboration des plans d'intervention, malgré le retard important qui a parfois été pris dans l'élaboration de ces plans. La plupart des projets d'assistance technique ont été adressés aux partenaires du groupement dans le cadre du processus d'« intervention rapide », ce qui a permis d'économiser le temps normalement consacré à la procédure d'appel d'offres et s'est avéré plutôt efficace étant donné les ressources financières limitées dont disposait le CRTC pendant les premières années de mise en œuvre. Les bénéficiaires de l'assistance technique ont estimé que les ressources mises à disposition par les partenaires du groupement étaient appropriées en termes de moyens et de compétences.

71. Bien que le CRTC soit parvenu à mobiliser suffisamment de partenaires d'horizons différents au sein de son Réseau, il n'est pas parvenu à créer une véritable communauté. La plupart des membres ne sont pas actifs au sein du Réseau, ne contribuent pas au système de gestion des connaissances, ne fournissent pas d'assistance technique[33] et participent peu aux manifestations du CRTC. Certains membres du Réseau ne sont pas satisfaits des débouchés commerciaux et des activités de mises en réseau offerts par le CRTC. Au cours de l'examen, plusieurs personnes interrogées ont estimé que la viabilité et la valeur ajoutée du Réseau n'étaient pas garanties si la participation n'augmentait pas. En décembre 2016, les membres du Réseau n'ont contribué qu'à 20 % des projets d'assistance technique, mais 50 % des 29 demandes d'assistance technique qui étaient entrées dans la phase d'exécution depuis le début de 2017 ont été mises en œuvre par des membres du Réseau. L'équipe de base du CRTC prévoit que les membres du Réseau mettront en œuvre 60 % des demandes d'assistance technique en 2017.

72. Dans les pays en développement, les autorités nationales désignées jouent un rôle important dans l'examen et la coordination des demandes d'assistance technique. Toutefois, en raison du manque de ressources et des problèmes de gouvernance locale, les entités nationales désignées des pays en développement ne sont pas toujours en mesure d'assumer pleinement leur rôle, occasionnant ainsi des retards et des problèmes d'efficacité (par exemple dans la présentation des demandes d'assistance technique qui doivent être affinées en collaboration avec le CRTC, afin de pouvoir y répondre). En outre, les activités de renforcement des capacités (en particulier le programme d'incubateur), qui ont prouvé leur efficacité dans l'autonomisation des entités nationales désignées, doivent être maintenues dans la durée car les entités nationales désignées changent fréquemment. Le Centre des technologies climatiques a élaboré un guide du rôle et des responsabilités des entités nationales désignées des pays développés, mais les orientations y figurant ont été jugées insuffisamment claires.

73. Les personnes interrogées ont fait savoir que le processus d'assistance technique prenait plus de temps que prévu, principalement parce que les objectifs initiaux du CRTC étaient trop ambitieux. Bien que le processus soit plus court que dans d'autres organisations internationales, certains bénéficiaires et entités nationales désignées le trouvent trop long et quelques-uns ont déclaré ne pas en être satisfaits. Les retards dans le processus sont dus

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[33] Le CTRC s'attend à ce que la répartition des projets d'assistance technique entre ceux qui sont mis en œuvre par les partenaires du groupement et ceux qui sont mis en œuvre par les membres du Réseau s'équilibre progressivement (ce dont le Comité consultatif a pris acte lors de sa 9e réunion).

principalement à la complexité de l'organisation du CRTC, qui implique de très nombreux interlocuteurs et décideurs (par exemple entités nationales désignées, partenaires du groupement, personnel du CTC), au manque de ressources (pour l'équipe de base du CRTC, les partenaires du groupement et les entités nationales désignées) ainsi qu'à des causes externes (comme des changements politiques et de gouvernance au niveau local).

74. Bien qu'une stratégie de communication ait été définie et appliquée, les partenaires locaux connaissent mal le CRTC et ses services. Les forums régionaux et les manifestations de mise en réseau n'ont pas touché un public assez large et la communication entre les entités nationales désignées et les partenaires extérieurs à l'écosystème institutionnel est insuffisante.

75. Les procédures du CRTC approuvées par le Conseil consultatif ont permis la mise en œuvre opérationnelle du CRTC et la rationalisation de ses services. Des procédures précises, des méthodes de gestion et des outils de communication ont été élaborés au cours des deux premières années de mise en œuvre et ont appuyé efficacement les opérations du CRTC.

76. Au cours de la première phase de mise en œuvre, le CRTC a alloué une part importante de son budget au développement du système de gestion des connaissances et à l'autonomisation des entités nationales désignées. Depuis 2016, il consacre la plus grande partie de ses ressources financières à l'exécution des projets d'assistance technique et au renforcement des activités participatives et de mise en réseau avec ses partenaires. Si d'autres dépenses ont diminué, en raison du caractère limité des fonds disponibles, la part du budget allouée aux opérations a été plus élevée que prévu (par rapport à la part consacrée aux services), en raison des coûts fixes.

77. Chaque fois que cela était possible, le CRTC a optimisé ses activités de réduction des coûts, notamment en collaborant avec d'autres acteurs, en s'appuyant sur les compétences existantes et en utilisant les moyens mis à disposition par ses partenaires.

78. Le CRTC a en général utilisé ses ressources de manière judicieuse et a pu produire des résultats substantiels en dépit de ses ressources limitées. Bien que les financements aient parfois été jugés trop faibles pour les résultats attendus, les bénéficiaires ont été satisfaits des projets mis en œuvre par le CRTC et ont généralement reconnu que le Centre tirait le meilleur parti des fonds dont il disposait.

4. Effets et durabilité

79. Certains effets concrets du CRTC se sont déjà fait observer s'agissant de l'élaboration de lois et politiques relatives à l'énergie ainsi que de l'élaboration de feuilles de route liées au développement et au transfert de technologies climatiques. Le CRTC a prouvé sa capacité à lancer des projets qui ont par la suite bénéficié d'un niveau de financement plus élevé. Il n'a cependant pas atteint ses objectifs de résultats (voir tableau 6).

Tableau 6
Indicateurs de résultats : objectifs et réalisations

Indicateurs de résultats[a]	Cibles pour la cinquième année de mise en œuvre (2017)	Réalisations à la fin de 2016
Investissements dans les technologies climatiques découlant du financement de l'assistance et des mesures postérieures au plan d'intervention du CRTC, directement ou indirectement imputables aux activités du CRTC	0,6 milliard de dollars É.-U.	5 000 dollars É.-U. engagés 1,14 millions de dollars É.-U. faisant l'objet de négociations directes ou demandés à des investisseurs ou des donateurs Le potentiel d'investissement est estimé à 350 millions de dollars É.-U.
Nombre de plans technologiques nationaux et sectoriels résultant de l'assistance du CRTC	50-75	7

Indicateurs de résultats[a]	Cibles pour la cinquième année de mise en œuvre (2017)	Réalisations à la fin de 2016
Nombre de nouveaux projets et/ou stratégies (politiques et lois) relatifs aux technologies menés à l'initiative des pays conçus, mis en œuvre et renforcés grâce à l'assistance du CRTC	100	9
Nombre de partenariats public–privé constitués comme suite aux ateliers	13	3[b]
Nombre d'accords de jumelage conclus comme suite aux manifestations de mise en réseau	18	4[c]
Activité du CRTC qui a généré, directement ou indirectement, une collaboration Sud–Sud, Nord–Sud ou une collaboration triangulaire	Pas d'objectif	5

Source : Ernst & Young et Associés, sur la base des données du CRTC.

Abréviations : CRTC = Centre et Réseau des technologies climatiques.

[a] Document AB/2015/5/15 du Conseil consultatif du CRTC.

[b] le CRTC a déclaré avoir conclu un partenariat public-privé en 2015 avec le Réseau consultatif pour le financement privé pour des projets d'assistance technique (voir document AB/2015/6/6a du Conseil consultatif du CRTC) et un autre en 2016 avec les comités créés suite au Forum des partenaires de l'Afrique de l'Est (voir document AB/2016/8/6b du Conseil consultatif du CRTC).

[c] Le CRTC a déclaré avoir conclu deux accords de jumelage en 2015 après discussions avec des banques régionales de développement (voir le document AB/2015/6/6a du Conseil consultatif du CRTC) et deux en 2016, grâce à une collaboration avec le Réseau consultatif pour le financement privé et l'Organisation mondiale de la propriété intellectuelle (voir le document AB/2016/8/6b du Conseil consultatif du CRTC).

80. La nature des activités du CRTC et son peu d'ancienneté rendent difficile l'évaluation de résultats qui ne se matérialiseront probablement que plusieurs années après l'achèvement d'un projet ou d'activités. En outre, la nature même du CRTC (par exemple le modèle de financement sur une base volontaire et les demandes d'assistance technique à l'initiative des pays) et le fait qu'il est devenu pleinement opérationnel plus tard que prévu laissent penser qu'il est peut-être trop ambitieux de fixer des objectifs à cinq ans.

81. Certains exemples qualitatifs des effets à long terme de l'activité du CRTC sur l'atténuation des changements climatiques et l'adaptation à ces changements ont déjà été observés à l'échelle mondiale, mais ils sont peu nombreux en raison du caractère récent du CRTC et de la nature des projets menés (qui constituent les premières étapes d'une évolution de plus grande ampleur). Le système de suivi et d'évaluation n'est actuellement pas conçu de façon à appréhender les effets plus larges des services du CRTC (développement des capacités, amélioration des connaissances, renforcement des systèmes, réduction de l'intensité carbone, amélioration de l'indice de vulnérabilité aux changements climatiques, contribution à la réalisation des objectifs de développement durable). Toutefois, ces informations sont essentielles pour montrer aux donateurs que l'argent est dépensé judicieusement et aux pays en développement que les services du CRTC sont utiles.

82. Malgré l'absence d'un système efficace de suivi et d'évaluation, les partenaires ont constaté que le CRTC pouvait aussi contribuer à produire des résultats positifs non intentionnels dans les domaines du développement local, de la transversalisation des questions de genre et de la protection de l'environnement. Le CRTC cherche à élaborer une stratégie intégrée pour accroître son impact sur la transversalisation des questions de genre.

B. Conclusions

83. Du point de vue du consultant, la mise en œuvre effective du CRTC a été une réussite dans les domaines suivants :

a) Les bénéficiaires se sont dits satisfaits des services fournis par le CRTC. Les personnes interrogées et celles qui ont participé à l'enquête ont reconnu que le CRTC apportait une valeur ajoutée, principalement en raison du champ de l'assistance technique qu'il fournit et des délais dans lesquels il intervient. Le CRTC a développé des synergies avec les institutions financières et les partenaires techniques pour éviter les doubles emplois et optimiser les effets de son assistance technique ;

b) Dans l'ensemble, le PNUE, l'ONUDI et les partenaires du groupement ont appliqué effectivement les décisions successives de la Conférence des Parties et ont mis en place le CRTC en conséquence, en lui donnant les moyens de s'acquitter efficacement du mandat confié à la Conférence des Parties et de devenir une institution reconnue, active dans une niche de l'écosystème d'appui au climat mondial. Le CRTC n'a cessé d'adapter la hiérarchisation de ses services en fonction de ses ressources financières et de revoir son programme de travail afin de mettre en œuvre les décisions successives de la Conférence des Parties ;

c) La mise en service du CRTC a pris du temps, mais a abouti à l'instauration d'une organisation plutôt efficace. Le groupement apporte un bon mélange de compétences de base et de compétences régionales, ainsi que la connaissance des procédures de l'ONU, qui ont permis l'application des décisions de la Conférence des Parties et facilité le déploiement des services du CRTC ;

d) Le Conseil consultatif a fourni des orientations stratégiques utiles pour les opérations et les services du CRTC, aux fins de l'exécution des décisions de la Conférence des Parties et de la mise en œuvre effective des activités du Centre ;

e) Les activités de renforcement des capacités ont permis aux entités nationales désignées d'élaborer et de soumettre des demandes pertinentes ; en réponse à ces demandes, le CRTC a fourni une assistance technique sur mesure répondant efficacement aux besoins des pays.

84. Du point de vue du consultant, la mise en œuvre effective du CRTC s'est heurtée aux principales difficultés suivantes :

a) Le modèle de financement et, partant, le caractère limité des fonds mis à la disposition du CRTC l'empêche de fournir des services du niveau attendu. Une meilleure prévisibilité et une plus grande sécurité en matière de financement permettront au CRTC de continuer à s'acquitter du mandat qui lui a été confié par la Conférence des Parties et à répondre aux besoins et aux attentes des pays en développement ;

b) Il n'existe actuellement aucun cadre permettant de rendre compte des questions de transparence et de responsabilité du CRTC et de dialoguer avec les donateurs ;

c) Compte tenu de la nature des travaux du CRTC et des attentes croissantes des pays en développement, il est nécessaire de renforcer les compétences techniques au sein du Conseil consultatif afin qu'il continue de fournir des orientations stratégiques adéquates ;

d) En raison du caractère limité des ressources humaines mobilisées au sein de l'équipe de base du CRTC et des partenaires du groupement, la fourniture de services d'assistance technique a été ralentie et le CRTC a eu plus de difficultés à atteindre ses objectifs de résultats. En outre, le CRTC n'a pas suffisamment utilisé les ressources et les compétences de son Réseau alors que ce vivier de ressources pourrait contribuer à l'assistance technique. La faible implication de certains membres du Réseau a suscité le mécontentement des membres. Toutefois, les chiffres du premier semestre de 2017 et les projections pour l'ensemble de l'année portent à croire que les membres du Réseau mettront en œuvre un nombre croissant de projets d'assistance technique ;

e) Le processus d'assistance technique repose sur les entités nationales désignées des pays en développement, qui ne disposent en général ni des ressources ni des capacités nécessaires pour coordonner efficacement les échanges avec les bénéficiaires et pour communiquer suffisamment avec les acteurs locaux. Le fait d'apporter une assistance technique uniquement aux pays qui en font la demande restreint les activités du CRTC (le nombre de demandes a été plus faible que prévu) et limite les possibilités de reproductibilité ;

f) Certaines inefficiences des opérations, qui ont entraîné des retards dans le déroulement des projets d'assistance technique, ont été observées. Il a également été souligné que l'organisation de manifestations et de webinaires pouvait être améliorée. En outre, il est possible d'optimiser l'efficience du processus d'assistance technique ;

g) Le CRTC a prouvé sa capacité à fournir des prestations satisfaisantes, mais les résultats restent inférieurs aux attentes et seuls des exemples qualitatifs des effets macroéconomiques escomptés ont été communiqués. Le CRTC doit démontrer davantage encore les effets de ses services pour prouver qu'il aide utilement les pays en développement à intensifier et à accélérer leur action dans le domaine du climat afin d'atteindre les objectifs de l'Accord de Paris. En fin de compte, cela permettra de démontrer aux donateurs actuels que leurs fonds sont utilisés de manière judicieuse et de justifier la collecte de fonds supplémentaires.

C. Recommandations

85. Le consultant a élaboré les recommandations ci-après afin d'améliorer les performances du CRTC.

1. Gouvernance et organisation

a) Recommandation 1 : Les pays sont invités à mieux faire connaître leur entité nationale désignée aux acteurs concernés et à soutenir leur entité nationale désignée par l'intermédiaire de leurs institutions nationales et dans le cadre de la coopération avec d'autres coordonnateurs nationaux de la Convention-cadre des Nations Unies sur les changements climatiques

86. Les entités nationales désignées s'étant plaintes d'un manque de soutien et de reconnaissance au niveau national, cette recommandation contribuera à faire en sorte que le travail du CRTC soit connu des institutions nationales concernées et soutenu par elles. Cet objectif pourrait être atteint par la mise en place de forums annuels de coordonnateurs de la Convention-cadre sur les changements climatiques qui réuniraient des représentants des dispositifs institutionnels relatifs à la Convention-cadre et des entités nationales désignées afin qu'ils travaillent à accroître la complémentarité et l'impact des activités qu'ils entreprennent dans les domaines des changements climatiques. En outre, les pays en développement pourraient encourager leurs entités nationales désignées à se concerter avec leurs homologues d'autres pays afin d'examiner, de sélectionner et d'affiner les demandes d'assistance technique pour que celles-ci bénéficient d'un appui résolu dans le pays et soient étroitement corrélées aux priorités nationales et aux mesures prises dans le domaine du climat et du développement.

b) Recommandation 2 : Il est proposé de renforcer la gouvernance du Conseil consultatif afin qu'il continue de répondre aux besoins du CRTC en termes d'orientations stratégiques et techniques

87. Les parties prenantes qui ont participé à l'examen ont estimé que le rôle du Conseil consultatif n'était pas clair. Si le Conseil a principalement pour mandat d'entériner les plans opérationnels et le budget, son rôle a évolué et il fournit désormais des orientations stratégiques. La Conférence des Parties pourrait revoir le mandat du Comité consultatif de manière à ce que le Comité soit clairement chargé de fournir des orientations stratégiques au CRTC. En outre, les Parties pourraient être encouragées à désigner des membres

du Conseil consultatif qui possèdent les compétences techniques nécessaires à la mise au point et au transfert de technologies en matière d'adaptation et d'atténuation.

c) **Recommandation 3 : Le CRTC est invité à préciser le rôle des entités nationales désignées des pays développés**

88. Les partenaires qui ont pris part à l'examen ont signalé que le rôle et les responsabilités des entités nationales désignées des pays développés n'étaient pas clairement définis. Cette recommandation permettra au CRTC de bénéficier des compétences techniques des entités nationales désignées des pays développés ; elle peut également faciliter la collaboration et la collecte de fonds. Ces mesures devraient viser à renforcer la participation des entités nationales désignées des pays développés aux opérations du CRTC, et pourraient prendre par exemple la forme de la création d'un groupe de travail regroupant des entités nationales désignées de pays développés qui permettrait de mieux encadrer leur participation et leur contribution au CRTC.

2. **Financement**

a) **Recommandation 4 : Le PNUE et l'ONUDI, qui hébergent le CRTC, sont invités à détecter des sources possibles de ressources financières additionnelles**

89. Le modèle de financement actuel du CRTC repose principalement sur les contributions volontaires des pays, et le caractère limité des fonds mis à la disposition du CRTC a été cité comme l'un des principaux obstacles à la fourniture de services au niveau escompté. Le PNUE et l'ONUDI pourraient donner suite à cette recommandation en procédant à un recensement minutieux des sources de financement additionnelles possibles (y compris les fonds philanthropiques, les financements privés et les financements participatifs) qui soient adaptées aux activités du CRTC, et en le mettant régulièrement à jour. Compte tenu des caractéristiques des sources de financement ainsi identifiées (montant, structure, procédures), le CRTC pourrait alors établir des priorités dans son travail de collecte de fonds. En outre, le CRTC est encouragé à créer au sein de son équipe un poste dont le titulaire se consacrerait à la collecte de fonds et aux contacts avec les donateurs, ce qui permettrait aux autres membres de l'équipe de se concentrer sur leur rôle.

b) **Recommandation 5 : Le CRTC, le FEM et le Fonds vert pour le climat sont invités à continuer d'étudier les moyens de faciliter l'allocation d'un financement durable pour les activités du CRTC et de renforcer les liens opérationnels entre les organisations, conformément à leurs mandats respectifs**

90. Le caractère limité des fonds mis à la disposition du CRTC a été cité comme l'un des principaux obstacles à la fourniture de services au niveau escompté. Le FEM et le Fonds vert pour le climat ont montré qu'ils étaient disposés à aider le CRTC, mais ils l'ont fait de manière ponctuelle, alors que le CRTC a besoin d'une plus grande prévisibilité de ses ressources financières. La fourniture de fonds de la part du FEM et du Fonds vert pour le climat devrait avoir pour objectif de réduire les retards afin de ne pas nuire à l'efficacité des opérations du CRTC. En outre, le FEM a élaboré et finance un réseau régional de centres des technologies climatiques, qui propose des services similaires et qui collabore de façon limitée avec le CRTC. Le renforcement des liens entre le CRTC et les centres régionaux des technologies climatiques du FEM facilitera l'échange de connaissances et renforcera les synergies potentielles au niveau régional. Les pays devraient s'efforcer de mettre leur entité nationale désignée en contact avec le coordonnateur du FEM de leur pays pour qu'ils définissent des concepts de projets qui pourraient bénéficier des services du CRTC tout comme du FEM. Les liens entre l'assistance technique du CRTC et les programmes de financement du Fonds vert pour le climat pourraient être renforcés par l'institutionnalisation d'une relation entre les entités nationales désignées et les autorités nationales désignées. Cela permettrait à ces acteurs de tirer le meilleur parti des synergies potentielles pour ce qui est de la communication, de la cohérence au niveau national, des complémentarités, des relations entre partenaires locaux et internationaux et des ressources humaines.

3. Assistance technique

Recommandation 6 : Le CRTC, son Conseil consultatif et les entités nationales désignées sont invités à accroître l'efficience de l'assistance technique fournie par le CRTC

91. On a constaté, en ce qui concerne la fourniture d'une assistance technique, des inefficiences qui ont occasionné des retards, entraîné un surcroît de travail pour le CRTC et suscité le mécontentement de certains bénéficiaires. Pour accroître l'efficience, il faudrait notamment mieux maîtriser les délais d'élaboration des plans d'intervention du CRTC. De plus, le CRTC est invité à poursuivre les appels d'offre en matière d'assistance technique et à les ouvrir de plus en plus aux membres du Réseau afin de mieux tirer parti de leurs compétences et de leurs ressources. Il pourrait aussi étudier la possibilité de mettre en place, au sein du Réseau, des viviers de compétences qui seraient mobilisés sur une question précise ou dans une région donnée et auraient la priorité dans les appels d'offre lancés dans leur domaine de compétence. Le CRTC pourrait également recenser les meilleures pratiques dans le domaine de l'assistance technique ainsi que les projets d'assistance technique réussis afin d'encourager leur transposition au moyen du renforcement des capacités et du partage des connaissances. Enfin, la promotion de l'assistance technique multirégionale auprès des entités nationales désignées pourrait permettre une plus grande efficacité dans l'allocation des ressources, et d'évaluer systématiquement les possibilités de fournir une assistance technique à d'autres pays que ceux visés dans la demande.

4. Gestion des connaissances, apprentissage mutuel et renforcement des capacités

Recommandation 7 : Le CRTC est invité à continuer de former régulièrement les entités nationales désignées et à faciliter l'élaboration des demandes par l'intermédiaire de ses forums régionaux et de son Programme d'incubateur

92. Les parties prenantes ont indiqué que les activités de renforcement des capacités étaient nécessaires à l'autonomisation des entités nationales désignées des pays en développement, qui jouent un rôle essentiel dans l'examen et la soumission des demandes. Cette recommandation permettra de faire en sorte que le vivier d'entités nationales désignées conserve le même niveau de compétences et que les demandes correspondent aux services d'assistance technique fournis par le CRTC et aux priorités nationales. La création de modules de renforcement des capacités qui tirent parti d'une sélection de projets d'assistance technique qui ont fait leurs preuves, afin de faciliter leur reproduction dans d'autres pays, fait partie des moyens de renforcer les capacités et l'efficacité des entités nationales désignées. En outre, il est recommandé que le CRTC anticipe mieux la planification et l'organisation de manifestations et de webinaires et communique les dates de ces événements longtemps à l'avance, afin de faciliter la participation du plus grand nombre.

5. Sensibilisation, établissement de réseaux et mobilisation des partenaires

a) Recommandation 8 : Le CRTC est invité à continuer de faire connaître ses services dans les pays en développement

93. La connaissance qu'ont les acteurs locaux du CRTC et de ses services semble limitée. Cette recommandation vise à faire en sorte que les pays en développement tirent pleinement parti des services du CRTC. Un moyen d'y parvenir serait d'encourager la participation d'un plus grand nombre d'acteurs des pays en développement (en particulier du secteur privé) aux activités menées par le CRTC en matière d'assistance technique, de renforcement des capacités et de mise en réseau, dans la mesure où ils connaissent bien les failles du contexte national et sont susceptibles d'appuyer la mise en œuvre de technologies climatiques sur le terrain.

b) **Recommandation 9 : Le CRTC est invité à renforcer la participation des membres du Réseau à ses activités**

94. Il a été constaté que le Centre des technologies climatiques avait tendance à sous-utiliser les ressources et les compétences de son Réseau dans le cadre de la fourniture de ses services de base. Ce vivier de ressources pourrait contribuer de manière importante à la fourniture d'une assistance technique. La faible participation de certains membres du Réseau a suscité le mécontentement d'autres membres. Pour y remédier, il conviendrait par exemple de solliciter plus fréquemment le Réseau, afin qu'il contribue aux services de base du CRTC, y compris s'agissant de l'assistance technique et du système de gestion des connaissances et d'organiser davantage de manifestations à l'intention des membres du Réseau, telle que celle qui a eu lieu lors de la vingt-deuxième Conférence des Parties.

6. **Suivi, évaluation et établissement de rapports**

Recommandation 10 : Le CRTC est invité à renforcer la transparence de ses modalités de financement et à améliorer la présentation de rapports et l'évaluation des effets de ses activités

95. Pour mobiliser des ressources additionnelles, le CRTC doit démontrer que les fonds des donateurs ont été utilisés de façon judicieuse. Un moyen d'y parvenir consiste à accroître la transparence des accords conclus avec les donateurs en les affichant sur le site Web du CRTC. Il est aussi essentiel de mieux faire connaître les effets des activités du CRTC. Le CRTC est invité à rendre compte plus fréquemment de ses performances au Conseil consultatif au moyen de bulletins trimestriels sur les progrès réalisés au regard des principaux indicateurs stratégiques de résultats. En outre, il pourrait organiser des forums annuels de donateurs pour rendre compte des activités du Centre, en discuter et, si nécessaire, revoir les accords avec les donateurs. De plus, le CRTC est invité à mettre au point un cadre de suivi et d'évaluation qui présente les résultats et les effets des activités et puisse être analysé de manière simple, et qui fournisse des informations quantitatives objectives sur les effets de l'assistance technique. Le CRTC pourrait procéder à une évaluation rétrospective quelques années après l'achèvement de chaque projet d'assistance technique pour mettre en évidence ses effets et évaluer sa viabilité et sa reproductibilité.

7. **Conseil consultatif**

Recommandation 13 : Le Conseil consultatif est prié de mettre en œuvre les recommandations découlant du présent examen

Annex I*

List of acronyms used in the annexes

[*Anglais seulement*]

AB	Advisory Board
ADB	Asian Development Bank
AfDB	African Development Bank
AIT	Asian Institute of Technology – Thailand
BF	Bariloche Foundation – Argentina
BINGO	Business and Industry Non-Governmental Organization
CATIE	Tropical Agricultural Research and Higher Education Center – Costa Rica
CC	Climate Change
COP	Conference of the Parties
CSIR	Council for Scientific and Industrial – South Africa
CTC	Climate Technology Center
CTCN	Climate Technology Center and Network
DHI	DHI Group – Denmark
DTU	Technical University of Denmark – Denmark
EBRD	European Bank for Reconstruction and Development
ECN	Energy Research Centre of the Netherlands – The Netherlands
ENGO	Environmental Non-Governmental Organization
ENDA-TM	Environment and Development Action in the Third World – Senegal
GCF	Green Climate Fund
GEF	Global Environmental Facility
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit – Germany
ICRAF	World Agroforestry Centre – Kenya
IDB	Inter-American Development Bank
IEA	International Energy Agency
IRENA	International Renewable Energy Agency
KMS	Knowledge Management System
MoU	Memorandum of Understanding
NAMA	Nationally Appropriate Mitigation Actions
NAPA	National adaptation programmes of action
NDA	National Designated Authority
NDE	National Designated Entity
NGO	Non-Governmental Organizations
NREL	National Renewable Energy Laboratory – United States of America
RD&D	Research, Development and Demonstration
RINGO	Research and Independent Non-Governmental Organizations
SDG	Sustainable Development Goal
SME	Small and Medium Enterprise
SWOT	Strength, Weaknesses, Opportunities and Threats
TA	Technical Assistance
TAP	Technology Action Plan
TEC	Technology Executive Committee
TERI	The Energy and Resources Institute – India
TNA	Technology Needs Assessment
TOR	Terms of Reference
UN	United Nations
UNEP	United Nations Environment Programme
UNEP-DHI	UNEP-DHI Centre for Water and Environment
UNEP-DTU	UNEP DTU Partnership (formerly UNEP Risø Centre (URC))
UNFCCC	United Nations Framework Convention on Climate Change
UNIDO	United Nations Industrial Development Organization
WB	World Bank
WIPO	World Intellectual Property Organization.

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

Annex II

List of COP decisions related to the CTCN

| Decision	Paragraph(s) / Article(s)	Summary of the relevant paragraphs related to the CTCN
1/CP.16	123	Establishes the CTCN
2/CP.17	139-141 and Annex VII	Decides that the CTCN should be funded from varied sources. Sets the terms of reference of the CTCN
14/CP.18	1-9 and Annexes I-II	Select UNEP as the host and Memorandum of understanding with UNEP. Adopts the constitution of the Advisory Board.
25/CP.19	All	Adopts the modalities and procedures of the CTCN and its Advisory Board. Requests CTCN to work in conjunction with TEC.
16/CP.20	1 and 4-8	Urges parties to nominate NDEs and invites them to submit requests.
17/CP.20	1-4 and 14-18	Encourages the CTCN to further elaborate its procedures for handling requests, requests the CTCN to report on consultation with the GEF
Paris Agreement	Article 10	Establishes a technology framework to provide overarching guidance to the Technology mechanism.
1/CP.21	66, 69	Requests the TEC and the CTCN in supporting the implementation of the Agreement, to undertake further work relating to, inter alia: (a) Technology research, development and demonstration; (b) The development and enhancement of endogenous capacities and technologies; Decides to undertake a periodic assessment of the effectiveness and adequacy of the support provided to the Technology Mechanism in supporting the implementation of the Agreement on matters relating to technology development and transfer"
12/CP.21	All	Invites the CTCN to use the guidance provided by the TEC on the preparation of technology action plans when responding to requests.
13/CP.21	All	Welcomes the dialogue between GCF, GEF, TEC and CTCN. Underlines the need for increased cooperation between the CTCN, the TEC and the operating Entities of the Financial Mechanism. Requests them to consult on and further elaborate on the linkages between the Technology Mechanism and the Financial Mechanism.
14/CP.22	1-4 and 7-10	Welcomes the decision of the GCF to hold annual meetings with the TEC and the CTCN. Welcomes the increased engagement of the GCF and CTCN in particular regarding utilizing the Readiness and Preparatory Support Programme and the Project Preparation Facility. Invites these bodies to provide information on their linkages in their annual reports.
15/CP.22	1-6 and 7-17	Encourages the CTCN and TEC to continue their collaboration. Also encourages the TEC and the Advisory Board of the CTCN to continue updating the procedures for preparing the joint chapter of their joint annual report. Encourages cooperation with the GEF. Underlines the importance of collaboration between NDEs, NDAs of the GCF and focal points of the GEF.

Annex III

[*Anglais seulement*]

Planning of the independent review

1.   Figure 7 presents the overall planning of the CTCN review that started at the beginning of November 2016.

        a)   Phase 1 ended by mid-January 2017, after the validation of the inception report;

        b)   Phase 2 ended by the end of May 2017, after the interim report was sent and after the organization of the end-of-phase 2 meeting;

        c)   Phase 3 was completed by the end of July 2017, after validation of the final report.

Figure 7
Evaluation planning (Source: EY)
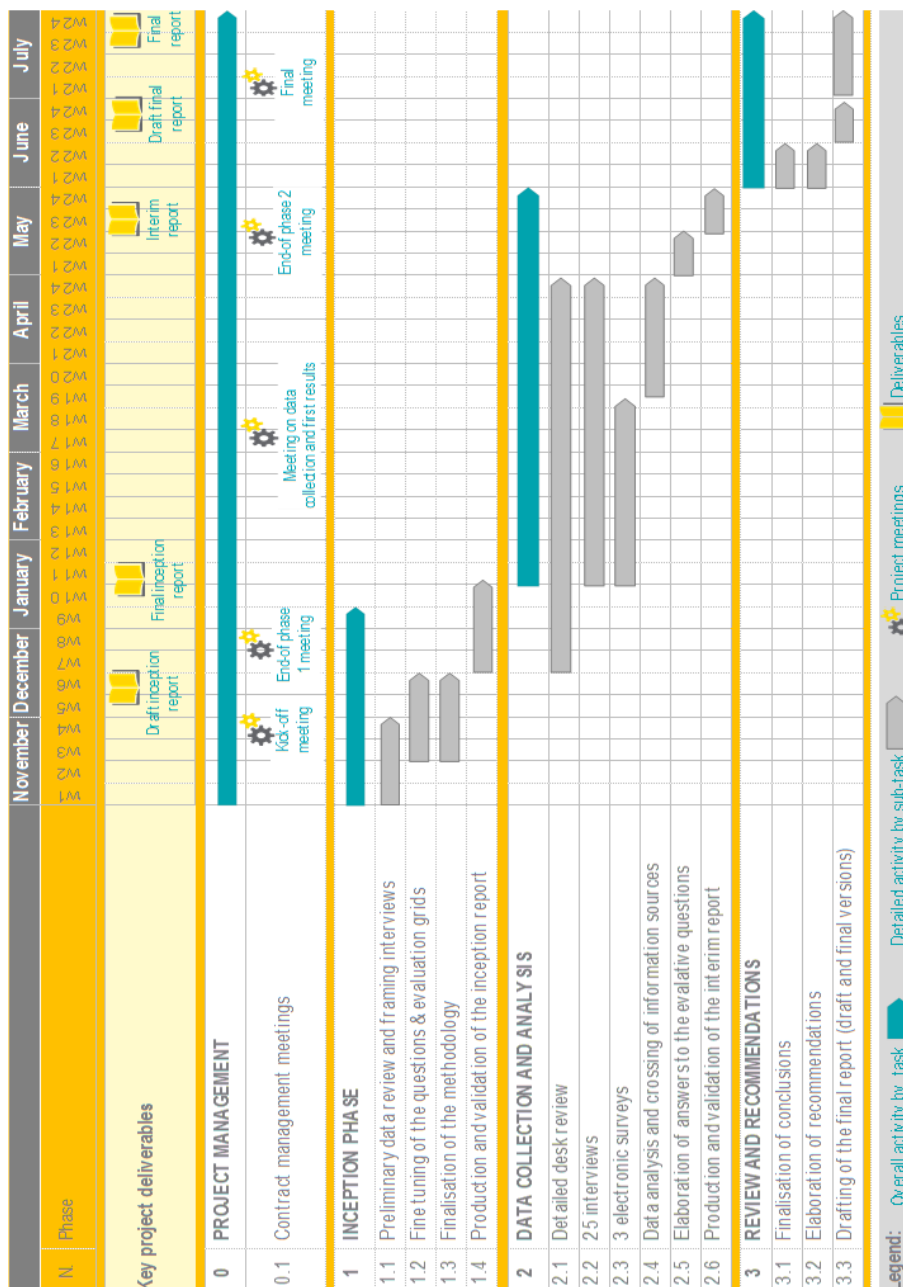
Annex IV

[*Anglais seulement*]

Evaluation grids

1. Relevance

Question: Are the strategy and the resources of the CTCN relevant and appropriate regarding priorities given by the Conference of the Parties and the local needs for support?
Subquestions:

(a) To what extent is the 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 was the program design appropriate to meet its objectives in terms of:

(i) Selection and sequencing of activities/components/beneficiaries;

(ii) Processes and procedures;

(iii) Funding;

(iv) Time frame;

(v) Human resources, and,

(vi) Communication, Monitoring, Assessment & Evaluation.

(d) To what extent was the consortium structure adapted to the needs for establishing the CTCN, and then for implementing it? Could the current structure be enhanced?

(e) To what extent are the services offered by the CTCN complementary with policy guidance given by the TEC, 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?

(f) 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 its launch?

Indicators and Data sources:
- Intervention logic of the CTCN strategy (resources, services, objectives) through the analysis of funding documents (decisions of the COP, operating plans…);
- Identification of the main changes in the work plan of the CTCN and the main decisions of the COP regarding the CTCN;
- 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 1 countries' needs for support regarding CC mitigation and adaptation (through preliminary literature review 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 members, etc.) on the program's relevance in addressing these issues (through interviews and survey);
- 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:

(a)   To what extent was the CTCN established according to targeted deadlines?

(b)   To what extent did the CTC communication and organization (including the incubator programme) support a coordinated identification and submission of relevant requests for technical assistance (technical assistance) from developing countries?

(c)   To what extent did processes and procedures support a responsive assessment and answer to requests for technical assistance? Have the answers been frequent enough (125-190 quick responses & 70-95 response projects over 4 years), diversified (geographical coverage, mitigation/adaptation, type of support…) and produced on time?

(d)   To what extent were the responses (both quick answers and projects) consistent with the demand for technical assistance? Were the NDEs and beneficiaries satisfied with the technical assistance provided?

(e)   To what extent was the knowledge management system (KMS) developed in accordance with the work programme (in terms of functionalities, format, timeframe…)?

(f)   To what extent are sufficient and relevant tools and information materials (3,500 in 2016) available in the KMS?

(g)   To what extent is the KMS regularly used by targeted beneficiaries (8,000 unique KMS users and 50.000 page visits by 2016) and perceived as useful?

(h)   To what extent were regular and relevant training sessions organized on time (all NDEs trained and 750 CTCN clients trained by 2016) and were perceived as useful by the participants?

(i)   Were there enough capacity building workshops (16-22 by 2016) and remote technical advice and helpdesk (90-120 by 2016) organized by the CTCN? To what extent were they relevant, on time, and perceived as useful by the participants?

(j)   Were there enough and relevant international events or forum (8-12 by 2016), public/private workshops (12-18 by 2016) and regional networking meetings (18-27 by 2016) organized by the CTCN. To what extent were they relevant, on time, and perceived as useful by the participants?

(k)   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?

(l)   What are the main differences compared to the initial Programme of Work? Are these changes and unplanned activities are consistent, in keeping with the CTCN mandate (given by the COP)? Is there any lack to completely fulfil the CTCN mandate?

(m)   To what extent is the CTCN's output measurement system appropriate and well-managed? Are quantitative and qualitative data available? Are selected indicators adequate?

Indicators and Data sources:
- Analysis of monitoring and evaluation related documents (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: technical assistance 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 and calendar of events, content of technical assistance, participants and program of trainings…);
- Perception of partners (advisory board, consortium members, 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 (technical assistance, 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 establishment of the CTCN and the deployment of its services?

Subquestions:

(a) To what extent does the CTCN governance (advisory board, consortium organisation…) ensure its responsiveness (application of COP decisions, communication with UNFCCC and TEC…) and coordination with relevant international organisations (IEA, IRENA, GCF, WB…)?

(b) To what extent were enough financial resources mobilised ($M38.3 raised by 2016)? Did the fund raising impact the CTCN's operations or services?

(c) To what extent were financial resources allocated appropriately and efficiently across the activities (as planned within the budget scenarios)?

(d) To what extent was the CTC appropriately staffed (adapted to the needs), and could field the right expertise?

(e) To what extent was the organization of the CTC (consortium of organizations, different sites, etc.) efficient (clear distribution of roles, coordination of activities…)?

(f) To what extent was the network (consortium and knowledge partners) mobilized and to what extent did it provide additional and valuable sources of expertise, knowledge and support?

(g) Is the role of the NDE clear for country representative? Is it efficient in terms of projects coordination?

(h) To what extent did the CTCN management structure, processes and procedures, communication and M&E support an optimization of its operation?

(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? Considering the costs and outputs, to what extent has the CTCN provided value for money?

(j) To what extent has the CTCN designed and implemented processes that have allowed it to deliver its services in a timely and cost-effective manner?

(k) Could the results have been achieved with fewer resources without reducing the quality and quantity?

(l) Have synergies between actions/historical investments been identified? Synergies with peers (GEF, GCF, Development Banks, etc.)?

(m) To what extent have the operational risks been well managed?

(n) What could have been done to improve efficiency?

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 analyze of a sample of projects);
- Simplified benchmark with comparable initiatives (through interviews with partners and a preliminary literature review);

- Perception of partners (advisory board, consortium members, etc.) on the program's efficiency (through interviews and survey);
- Perception of NDEs and beneficiaries regarding the deployment (technical assistance, KMS, training…) (through interviews, surveys and feedbacks).

4. Impacts and sustainability

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

Subquestions:

(a) To what extent did the CTCN contribute to the development of national and sectoral technology plans (TNA & TAP) (50-75 by the 5th year of implementation) as well as polices and laws related to CC issues, to the implementation of new country-drive technology projects (100 by the 5th year of implementation) and UNFCCC processes (NAMA, NAPA…), or to any other informed choice or project regarding relevant technologies? Under which circumstance is it expected to continue, to increase or to be replicable (at different levels or for different topics)?

(b) To what extent did the CTCN contribute to the mobilization of relevant partners (200 by 2016)? Under which circumstance this mobilization is expected to continue, to increase or to be replicable (at different levels or for different topics)?

(c) To what extent did the network (directly or indirectly) contribute to the creation of Public-Private Partnerships (6 by 2016), to the signature of twinning arrangements (10 by 2016), to collaborations (South-South, North-South or 'Triangular'), to Post-response Plan intervention funding related to climate technology ($B0.6 by the 5th year of implementation), or to any other technology cooperation, development and transfer? Under which circumstance is it expected to continue, to increase or to be replicable (at different levels or for different topics)?

(d) To what extent did the network contribute to the reduction of energy and carbon intensity in developing countries, and more generally to CC mitigation? Is this expected to be a long lasting effect?

(e) To what extent did the network contribute to an improvement of the Climate vulnerability index in developing countries, and more generally to CC adaptation and resilience? Is this expected to be a long lasting effect?

(f) 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?

(g) What unintended outcomes (positive and negative) and changes (direct and indirect) have occurred as a result of the CTCN?

(h) Is the CTCN necessary (in its current format) to expect sustainable effects? Could any other existing program / tool replace the CTCN effectively?

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;
- 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 members, 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).

Annex V

List of documents used during the preparation of the report

Decisions of the COP (all available at *http://unfccc.int/ttclear/negotiations/decisions.html*)
– 1/CP.16.
– 2/CP.17.
– 14/CP.18.
– 25/CP.19.
– 16/CP.20.
– 17/CP.20.
– 1/CP.21.
– 12/CP.21.
– 13/CP.21.
– 14/CP.22.
– 15/CP.22.
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– CTCN. 2013 (date of further revision unknown). *Draft Programme of Work Climate Technology Centre and Network*
– CTCN. 2014. *Annual Operating Plan Climate Technology Centre and Network (second year of operations) - AB/2014/4/6*
– CTCN. 2015. *Annual Operating Plan Climate Technology Centre and Network (third year of operations) - AB/2015/6/6b*

– CTCN. 2016. *Annual Operating Plan Climate Technology Centre and Network (fourth year of operations) - AB/2016/8/8.1*

Annual reports:
– CTCN. 2016. 2016 Progress Report. Available at https://www.ctc-n.org/sites/www.ctc-n.org/files/ctcn-ar16-bookcover-lowres.pdf.
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Annex VI

List of interlocutors interviewed during the preparation of the report

Type of actor	Organisation	Name
UNFCCC	UNFCCC	Wanna Tanunchaiwatana and Bert Van der Plas
CTCN	UNEP	Jukka Uosukainen
	UNEP	Mark Radka and Manfredi Caltagirone
	UNEP	Naomie Kosaka
	UNIDO	Patrick Nussbaumer and Takeshi Nagasawa
Donors	GEF	Masako Ogawa
	GCF	Juan P. Hoffmaister
CTCN sub-project partners	DNV GL	Edwin Aalders
	DNV GL	Eelco Kruizinga
	AIT	Gopi Krishna
	GIZ	Nika Greger
	ENDA	Libasse Ba
	CATIE	Bastiaan Louman
	World Agroforestry Center	Henry Neufeldt
Advisory Board members (and ex-members)	European Commission	Karsten Krause
	Argentina	Gabriel Blanco
	Grenada	Spencer Linus Thomas
	USA	Griffin Thompson
	Norway	Mette Møglestue
	BINGO	Tanya Morrison
	RINGO	Shikha Bhasin
Network partners	Carbon counts (UK)	Paul Zakkour
	SNV Netherlands Development Organization (NL)	Eric Buysman
Manuel Espinoza
	CTI PFAN (Japan)	Peter Storey, Bobby Namiti and Taiki Kuroda
	ECOWAS Centre for Renewable Energy and Energy Efficiency (Cape Verde)	Mahama Kappiah and Monica Maduekwe
	WIPO	Anja Von des Ropp
	ADB	Xuedu Lu
NDE	Thailand	Surachai Sathitkunarat
	Mauritius	Sin Lan Ng Yun Wing
	Guinea	Mamady Kobélé Keita
	Péru	Claudia Figallo de Ghersi
CTCN sub-project beneficiaries	Chile - Ministerio del Medio Ambiente	Daniel Felipe Alvarez Latorre
	Bhutan - Road Safety and Transport Authority	Lham Dorji
	Jordan - Ministry of Environnement of Jordan	Abdelkarim Shalabi
	Bosnia and Herzegovina - City of Banja Luka	Nevena Predojevic
	Uganda - Ministry of Energy and Mineral Development	Vincent Kato

Annex VII

Additional information on the surveys

Profile of respondents

1. Three different surveys were conducted between February and March 2017. One was sent to NDEs, one to Network Members (excluding consortium partners) as well as active partners of the CTCN who have participated to CTCN events (excluding NDEs), and one to beneficiaries of technical assistance. The different email lists used for the survey were provided by the CTCN. The response rates to the three surveys are presented in table 7.

Table 7
Response rates to the surveys

Survey targets	Number of emails sent	Number of replies (Answered question 1)	Rate	Number of survey completed (answered the last question)	Rate
NDE	155	71	46%	53	34%
Partners	672	121	18%*a*	88	13%*b*
Beneficiaries	98	39	40%	30	31%

a This survey was sent to several representatives of the same organizations. 261 individual organizations were contacted, and 108 responded, giving a response rate of 30%.

b 83 individual organizations have completed the survey, giving a rate of 18%.

2. The NDE survey was sent to NDEs from both Annex 1 and Non Annex 1 countries. Only 8% of the responses came from Annex 1 country. As a result, the geographic distribution of respondents is close to the distribution of the technical assistance provided by the CTCN with slightly more responses from Europe and two responses from North America.

3. The geographical distribution of the respondents to the beneficiary survey is aligned with the distribution of technical assistance and other services provided by the CTCN with a majority of respondents from Africa followed by an important number of respondents from Asia as well as Central and South America. The database used does not allow to properly track the geographical distribution of the respondents to the survey addressed to Network Members and active partners of the CTCN. The detailed distribution is provided in table 8.

Table 8
Geographical distribution of the respondents to the surveys.

	NDE		Beneficiaries	
	Number of respondents	Percentage	Number of respondents	Percentage
Africa	28	39%	22	56%
Asia	13	18%	9	23%
Central America	7	10%	2	5%
Europe	14	20%	4	10%
North America	2	3%	0	0%
Oceania	2	3%	1	3%
South America	5	7%	1	3%

Annexe VIII

[*Anglais seulement*]

Summary of services provided by the CTCN

Technical assistance

1.   As per its mandate, the CTCN provides technical assistance to countries based on the requests submitted by their NDEs. The technical assistance is provided either by one of the consortium partner or by a network member. The technical assistance procedures[1] organize the technical assistance process as follows:

(a)   Review: deciding on the eligibility and prioritization of the request submitted by the NDE;[2]

(b)   Design: forming the team and designing the response plan that will be either executed by the consortium partner or tendered to network members;

(c)   Implementation: Selecting and contracting the implementation team, implementing the response plan;

(d)   Learning and Monitoring / completion: Learning from and sharing the results after completion of the Technical Assistance project, monitoring the impact.

2.   Since its inception in late 2013, the CTCN has received an increasing number of technical assistance requests: 20 in 2014, 55 in 2015, 83 in 2016, and 23 between January and April 2017.

3.   As of April 2017, the CTCN has received 181 requests. Out of those, 13 have been completed (all after May 2016), 49 are in the implementation phase, 40 are in the design phase, 29 are being reviewed, and 50 are currently inactive (see figure 8).[3]

Figure 8
Status of requests of Technical Assistance[4]

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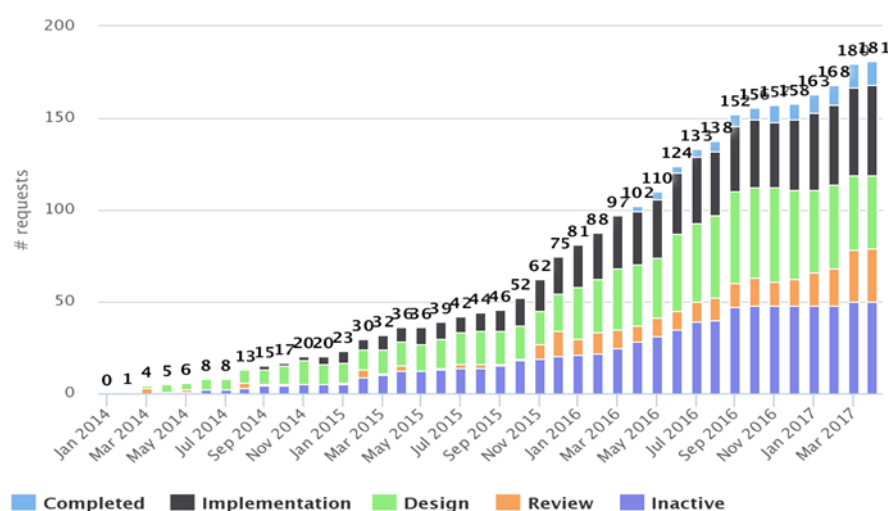
[1] Source: CTCN. 2015. *Technical Assistance Process and Procedures - AB/2015/5/04*.

[2] Prioritization criteria were initially defined by the CTCN in a document approved by the advisory board at its second meeting (September 2013). It specifies guiding principles (alignment with national plans, enhancement of endogenous capacities, project management capacities), balancing principles (coverage of geographical areas, adaptation and mitigation issues, and different steps of the technology cycle), and prioritization criteria (promotion of collaborations and multi-country approaches, leverage additional financing, demonstrate multiple benefits, etc.). The document is available at: https://www.ctc-n.org/sites/www.ctc-n.org/files/240bcf259a814482a6b0b3d0f73932a4.pdf.

[3] The majority of the inactive requests are eligible to CTCN assistance but not prioritized according to the request prioritization criteria approved by the Advisory Board (67% of inactive requests), the remaining ones are requests that have not been deemed eligible (8% of inactive requests) and requests that have been withdrawn by the NDE (29% of inactive requests).

[4] Source: CTCN. 2016. *Technical Assistance in a Snapshot – As of 1sr March 2017* - AB/2017/9/7.1. Available at https://www.ctc-n.org/sites/www.ctc-n.org/files/ab20179_7.1_ctcn_ta_snapshot_v3.pdf.

4.   The technical assistance requests addressed to the CTCN are distributed as follows:[5]

        (a)   44% of the requests from Africa 29% from Asia, 22% from Latin America and the Caribbean, 3% from Oceania, and 2% from Eastern Europe;[6]

        (b)   Low-income and lower-middle-income economies,[7] represent more than 80% of the requests;

        (c)   44% of the requests concern mitigation, 30% concern adaptation, and 26% both;[8]

        (d)   The majority of requests relate to the strengthening of local human capacities via either the production of training materials, the delivery of specific training events or the design of training programs.[9]

5.   Up until December 2016, Consortium Partners have been involved in 80% of all the projects completed or currently in the implementation phase, while Network Members have been involved in 20% of such projects.[10] Out of the 29 technical assistance requests that have entered in implementation phase since the beginning of 2017, half are being implemented by network members.

Fostering collaboration and access to information

6.   The CTCN's second core service is on fostering collaboration and access to information. Through its different communication tools and its Knowledge Management System (KMS), the CTCN aims at providing information to internal and external stakeholders about its own actions and about climate technologies and climate technology development and transfer.

7.   The CTCN designed a communications strategy in 2014,[11] which documents its objectives and strategic orientations concerning both internal[12] and external[13] communications.

8.   In line with this strategy, the CTCN communicated on its activities and results via:[14]

        (a)   The publication of recurrent reports on its operations and results, such as the Joint annual reports to the UNFCCC with the TEC, an annual progress report since 2015, brochures on its activities and on the network (in French, English and Spanish), and short impact briefs for the most advanced technical assistance projects;

        (b)   The transmission of information about its activities to stakeholders through: a newsletter distributed to nearly 5,000 individual subscribers, and articles (28 in 2015 and 26 in 2016) published on the CTCN website and distributed through social media (Twitter and Facebook);

        (c)   The publication of studies to share information and best practices about its technical assistance on selected topics;

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[5] Source: https://www.ctc-n.org/technical-assistance/request-visualizations accessed on April 15 2017.

[6] To balance these figures, 35% of non-Annex 1 countries are located in Africa, 29% in Asia, 22% in Latin America and the Caribbean, 8% in Oceania, and 7% in Europa.

[7] Based on the World Bank classification.

[8] Source: https://www.ctc-n.org/technical-assistance/request-visualizations accessed on April 15 2017.

[9] Source: CTCN. 2016. *Technical Assistance in a Snapshot – As of 1st March 2017 - AB/2017/9/7.1.*

[10] Source: https://www.ctc-n.org/network/network-visualizations accessed on 20 April 2017.

[11] Source: CTCN. 2014. Internal document of the CTCN, *Communications and Partnerships Strategy*.

[12] The four objectives for internal communication are: (1) Keeping the Advisory Board and organizational leadership informed and engaged in CTCN's progress; (2) Promoting effective and clear lines of communication among CTCN and partner organization staff; (3) Encouraging the active engagement of communications focal points and partners in promoting the CTCN with consistent and tailored messaging; (4) Soliciting content inputs and communications feedback from communications focal points and partners.

[13] The four objectives for external communications are: (1) Generating awareness and use of CTCN's services; (2) Increasing membership of relevant organizations in the Network; (3) Encouraging external audiences to engage in a two way communication about CTCN in order to improve execution of CTCN services; (4) Demonstrating value for money to current and potential funders.

[14] Source: CTCN. 2016. Internal document of the CTCN, *Communications Overview*.

(d)   Participation to international events, in order to promote the CTCN.

9.   The action of the CTCN has been mentioned by a variety of regional or national journals as well as in the international press through more than 200 articles. In addition, the CTCN uses Twitter and Facebook accounts, totaling more than 1,000 followers on the former and close to 1,700 likes on the latter.[15]

10.   The main component of the KMS is the Climate Technology Centre's website, which was launched in Q4 of 2014. The KMS is also composed of elements including tools for day-to-day operations of the CTCN (i.e. virtual office, sharing of documents, task management, information management, matchmaking module to help select the most relevant consortium members to reply to technical assistance requests, etc.).[16] The CTCN benefited from the support of DNV GL (strategic partner) to develop the KMS.

11.   The website is designed to (i) generate awareness on the CTCN's services and partners;[17] (ii) provide access to technology information via the technology library, which constitutes the core of knowledge diffusion;[18] and (iii) provide up-to-date information on CTCN activities.[19]

12.   The performance of the website, monitored using Google Analytics,[20] is presented below:

(a)   As of December 2016, there were 10,768 information resources available on the website. These resources come from a variety of sources including Network Members;

(b)   In 2016, the CTCN website received 145,138 visits by 104,851 users. 44% of the visitors in December 2016 were returning visitors. While most visits originate from Annex 1 countries, Non-Annex 1 countries tend to visit more pages per session.

Strengthening of networks, partnerships and capacity-building

13.   The third core service of the CTCN is on strengthening networks, partnerships and capacity-building. Through the organization of forums and webinars, and its incubator and secondment programmes, the CTCN pursues two goals. The first objective is to train NDEs in order to ensure a sustained flow of high quality requests from countries as well as to train a wider audience on climate technologies. The second objective is to link together a diverse global community of stakeholders in order to recruit potential network partners, foster discussion and collaboration within this community and facilitate technology transfer partnerships between different actors. This service is aimed at both private and public actors, including technology users, technology providers and investors.

Regional Fora

14.   Between 2013 and 2016, the CTCN held 21 fora and workshops.[21] These events are organized at a regional or sub-regional level. Three rounds of seven events were organized by the CTCN: a first training workshop round in 2013-2014, a first round of regional fora in 2015 and a second round of regional fora in 2016 (see figure 9). Another round of fora is planned for 2017.

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[15]   Source: CTCN. 2016. Internal document of the CTCN, *Communications Overview*.

[16]   Source: CTCN. 2016. Internal document of the CTCN, *Communications Overview*.

[17]   With the presentation of technical assistance requests, Network Members, and NDEs; publication of Advisory Board meeting documents; listing of international events and capacity building events, etc.

[18]   The technology library is a compendium of existing information on climate technology organized by sector or themes / approaches.

[19]   With the agenda of next meetings, workshops, or webinars, news and publications, etc.

[20]   Source: CTCN. 2016. Internal document of the CTCN, *Communications Overview*.

[21]   Source: CTCN (internal). 2016. *List of participants to CTCN events*.

Figure 9
CTCN regional fora and workshops (Source: EY, based on CTCN data)

15.   These events are focused on regional or sub-regional issues, and aim at strengthening the capacities of NDEs to fulfill their role and at developing their knowledge of locally relevant technology solutions. During the first round of workshops (2013-2014), emphasis was put on presenting and promoting the activities of the CTCN to elicit new requests by NDEs. The last two rounds (2015 and 2016), put emphasis on identifying and securing funding for the follow-up activities to CTCN technical assistance offer. During the last round of fora, the CTCN increased its sectoral approach: based on analysis of the countries' Nationally Determined Contributions (NDCs), the CTCN invited experts from the network to present technology options most relevant to the participants.

16.   The events last between two or three days and gather 30 to 40 participants each. To date, there were around 650 participations to these fora including:[22] NDE representatives from more than 134 Parties – mostly non-Annex 1 Parties; UNEP and UNIDO representatives; Consortium Partners; UNFCCC secretariat, other UN bodies;[23] International Financial Institutions;[24] some network partners;[25] and local stakeholders.

Stakeholder Fora and private sector engagement

17.   In addition to regional workshops and fora, the CTCN also organized three stakeholder fora. The first one, took place in Nairobi in April 2016. Other stakeholder fora were held in Panama in September 2016 and Singapore in February 2017. The goal of stakeholder fora is to create links between private actors and CTCN stakeholders (NDEs, Consortium Partners and network partners). The purpose is to generate requests for technical assistance to the CTCN. The fora also seek to foster the emergence of economically attractive climate technology projects and more generally create a context allowing for the creation of new partnerships and innovative solutions.

18.   DNV GL (strategic partner of the CTCN) and PFAN (network member) have assisted the CTCN in organizing such events, and more broadly, in engaging the private sector.

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[22] Source: CTCN (internal). 2016. *List of participants to CTCN events*.

[23] The GCF, the World Intellectual Property Organization (WIPO) or the FAO have regularly been involved.

[24] Such as the African Development Bank (AfDB), the West African Development Bank (BOAD), the Asian Development Bank (ADB), the Inter-American Development Bank (IADB), and the Development Bank of Latin America (CAF).

[25] With 70 participations of network partners to these events out of 650 total participations (SREP and PFAN have participated actively).

Webinars

19.	The CTCN's webinars aim at sharing knowledge on specific technology sectors related to adaptation and mitigation strategies. They are open to the public and last around two hours. The webinars are mainly offered in English with a few in French and in Spanish.

20.	As of March 2017, the CTCN and its consortium conducted 38 webinars and promoted 37 webinars offered by Network Members to a total of more than 2,200 participants.[26] Consortium partners have played an important role in the production of content for the CTCN's webinars. For example, the UNEP-DTU partnership organized more than 10 webinars while other partners such as ICRAF, AIT and ENDA also organized several webinars. 16 webinars have been organized by Network Members.

Incubator programme

21.	The CTCN presented its incubator programme dedicated to Least Developed Countries (LDCs) at the 4th Advisory Board meeting.[27] The aim of this programme is to co-develop technical assistance requests with these countries and to build capacity of NDE representatives so that they are more able to develop additional requests as well as to use the other services of the CTCN.[28]

22.	As of March 2017, 19 countries had participated in this programme[29] leading to the submission of 14 technical assistance requests, 7 of which have been prioritized by the CTCN.[30] Consortium partners such as ENDA, CSIR and AIT have been in charge of implementing the incubator programme in their regional area.

Secondment program

23.	The CTCN presented its secondment programme at the 4th meeting of the Advisory Board. The aim of this programme is to allow young professionals from partner institutions of the CTCN to participate in the work of the Centre for 4 to 6 month. Secondees contribute to the work of the CTCN, thereby building up their knowledge of technology transfer and of the CTCN's process, while the CTCN can build on the knowledge of those participants coming from different regions to identify local technology needs and to better grasp local economic, social and political contexts.

24.	The first two secondees started working at the CTCN in August 2015, the last group to participate started in autumn 2016. A fourth group is expected to join the CTCN in May 2017. The first secondees accepted in the programme were coming from one Consortium Partner (ENDA), two NDEs (Kenya and Mongolia), and two Network Members.

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[26] Source: CTCN. 2017. *CTCN Capacity Building in a Snapshot - AB/2017/9/7.2*. The number of single participants has not been monitored; the value reported correspond to the sum of participants to the different webinars.

[27] Article 4.9 of the Framework Convention states that "Capacity building is crucial to developing countries, especially those that are particularly vulnerable to the adverse effects of climate change. The special circumstances of Least Developed Countries and Small Island Developing States need to be taken into account".

[28] The programme is organized around 8 capacity building modules that NDE representatives can take independently. More specifically, this programme is designed to help NDE representatives to (https://www.ctc-n.org/capacity-building/request-incubator): - Better understand the policy context and technology priority sectors, and map existing efforts and main stakeholders related to climate technologies at national level, - Communicate the needs and opportunities related to climate technologies to a wide range of stakeholders, and inform them of the services offered by the CTCN, - Submit a request for technical assistance to the CTCN, developed in consultations with relevant actors that could complement existing initiatives and efforts, - Strengthen their capacities to identify funding mechanisms for deploying climate technologies in their countries, from both private and public sources, - Acquire skills to measure country's progress and demonstrate concrete achievements for climate technologies.

[29] Bangladesh, Benin, Central African Republic, Equatorial Guinea, Guinea Conakry, Gambia, Malawi, Mali, Mauritania, Myanmar, Nepal, Democratic Republic of Congo, Rwanda, Senegal, South Sudan, Tanzania, Togo, Uganda and Zambia.

[30] Source: CTCN. 2017. *CTCN Capacity Building in a Snapshot - AB/2017/9/7.2*.

Annex IX

Detailed review of the performance of the CTCN

[*Anglais seulement*]

A. Relevance of CTCN activities

Added-value of the CTCN

1.   CTCN's activities are considered by local stakeholders (NDEs and beneficiaries) to provide some specific added-value.

        (a)   To the question "*Why did you request technical assistance from the CTCN?*" of the electronic survey, 60% of the respondents 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;[1]

        (b)   All NDEs and beneficiaries who have been interviewed have acknowledged the sheer value-added of the CTCN on the international stage, to support them in the process of accessing international funds for mitigation and adaptation programs and to build the right enabling environment. The time frame in which the CTCN operates (delivering projects under 12 month duration) is deemed particularly relevant to ensure that the projects delivered are in line with countries' current needs and priorities, and can support countries in their application to international funding programs and larger financial mechanisms. This has been acknowledged by interviewees as one of the main strengths and advantages of the CTCN compared to other international funds and organizations supporting technology development and transfer. Capacity building activities are also perceived very positively by country representatives.

2.   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,[2] or listed organizations related to the CTCN, such as UN bodies (UNOPS, UNEP, UNIDO, GCF, GEF) and Consortium Partners or Network Members (GIZ, ECREE, Clean Energy Solution Center, Low Emission Development Strategies Global Partnership). Some also listed multilateral and bilateral development banks (Worldbank, KfW, and JICA), international organizations (IRENA) and regional initiatives (Belgian Federal NDC Support Initiative).

Response to the needs of developing countries

3.   The mandate given to the CTCN stipulates that its services should be provided at the request of a developing country Party. The process and procedures subsequently organize the technical assistance request process starting from the initiative of developing countries. All NDEs and beneficiaries of technical assistance that responded to the surveys recognized that technical assistance provided by the CTCN corresponds to an important need of their country in terms of technology transfer.

4.   To be eligible, requests need to demonstrate alignment with national plans and NDCs, as defined in the guiding principles of the Prioritization Criteria for Technical Assistance and formalized in the technical assistance request form.[3] 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. Only 2.6% of all requests submitted as of May 2017 were classified as non-eligible by the CTCN.[4] Such

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[1] Out of the 25 who responded to this question.

[2] That was the case for 16 NDEs out of 33 respondents, and 6 beneficiaries out of 15 respondents.

[3] Source: CTCN. 2013. *Prioritization criteria for responding to requests from developing country Parties* – AB/2013/2.

[4] Source: https://www.ctc-n.org/technical-assistance/request-visualizations.

result implies that almost all requests for technical assistance were assessed by the CTCN to be relevant in accordance with the criteria established by the Advisory Board, both regarding country needs and the CTCN mandate.

5. The mandate of the CTCN implies to prioritize the delivery of its services towards Least Developed Countries (LDCs) and other highly vulnerable and low capacity countries. To align with this objective:

(a) The CTCN established technical assistance selection criteria that clearly formulates a preference for requests submitted by LDCs and other highly vulnerable and low capacity countries. Regional balance and geographical coverage are also included in the prioritization criteria for the selection of technical assistances. These criteria provide the necessary assessment lens to ensure that LDCs across the globe are a primary focus of CTCN activities;[5]

(b) The CTCN organized regional fora in different regions: 7 in Africa, 5 in Latin America and the Caribbean, 5 in Asia, 2 in Oceania, and 2 in Europe. The CTCN also provided information and capacity building in different languages (English, French, and Spanish), and offered the possibility to NDEs and beneficiaries of submitting their requests for technical assistance in the UN official language of their choice. These modalities aimed at helping NDEs to benefit from CTCN activities;

(c) The CTCN set up the incubator programme, in order to better respond to the needs of LDCs with reinforced capacity building and training (endorsed by the AB during its 3rd meeting).[6] NDEs who benefitted from this program have reported a high level of satisfaction. Trainings provided within the incubator programme have resulted in the formulation and submission of several technical assistance requests. Beneficiaries indicated that this program empowered them to do so and to better raise awareness about the CTCN services with other potential beneficiaries.

6. In most cases, the CTCN's activities are deployed jointly with a consortium partner with knowledge of the local and regional context, to ensure they are suited to the regional environment. Several interviewees however reported a lack of engagement with local stakeholders (local SMEs, civil society organizations, etc.) for the organization of workshops and regional fora, as well through the tendering process for technical assistance, which does not foster the use and development of local capacities.

7. With the entry into force of the Paris Agreement, it seems necessary that the CTCN be able to meet new needs and expectations from countries that may rise in line with NDC implementation. In the request form, the CTCN requires technical assistance requests to explicitly demonstrate alignment with and contribution to implementing the country NDC. In addition, the 2017 operating plan refers to NDCs, which will be on the spotlight for 2017 technical assistance activities and capacity building services.

Consistency with the COP mandate

8. The initial Programme of work 2013-2017, as well as successive annual operating plans aimed at operationalizing the three main functions formulated in the CTCN terms of reference:[7] technical assistance; fostering collaboration and access to information; and strengthening of networks, partnerships and capacity-building.

9. It was reported by interviewees that the Advisory Board provided the appropriate guidance to the CTCN Secretariat to ensure the implementation of COP decisions. The CTC Secretariat has overall acted in line with Advisory Board recommendations.

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[5] CTCN. 2013. *Prioritization criteria for responding to requests from developing country Parties –AB/2013/2*. "*Balancing principles - With the aim of achieving a balanced and equitable portfolio, the CTC Director shall ensure that priority is given to requests that bring about: 1. Inter and intra-regional equity, with a preference for vulnerable and low capacity countries.*"

[6] CTCN.2014. *Minutes of the third meeting of the Advisory Board – AB/2014/3/Outcomes.* "*The CTCN should take into consideration the varying needs and abilities of NDEs and, in particular, the needs of LDCs*".

[7] Decision 2/CP.17, and Annex VII.

10.   Beyond the initial mandate given to the CTCN, several COP decisions have determined the modalities for implementation of the CTCN. The surveys and interviews conducted for the purpose of this review indicate that the CTCN Secretariat was responsive to COP guidance, as it included successive COP decisions to its implementation agenda and operations, and submitted subsequent amendments to its operating plans to the deliberation of the Advisory Board.

(a)   *Cooperation with the TEC*: In several decisions, the COP encouraged the CTCN to enhance its collaboration with the TEC.[8] Collaboration between the TEC and the CTCN was implemented as follows: the TEC Chair and Vice-Chair participate in Advisory Board meetings of the CTCN, the CTCN AB Chair and Director participate in TEC meetings and TEC Task Forces. In addition, the TEC and the CTCN have delivered joint key messages through their joint annual reports to the COP;

(b)   *Cooperation with the Financial Mechanism*: The CTCN and the TEC were also requested by the COP to foster cooperation with the operating entities of the Financial Mechanism:[9]

(i)   The CTCN Secretariat consequently enhanced its dialogue with the GEF and the GCF, aiming at maximizing the linkages between the large-scale finance capacities of the GEF and the GCF and the potential of the CTCN to build developing country capacities to access such funding. Concrete steps have been taken by the CTCN toward the integration of capacity building to access Financial Mechanism funds as a core element of CTCN projects;

(ii)   The 2017 operating plan of the CTCN confirmed the engagement of the CTCN towards such objective, with specific actions planned;[10]

(c)   *Fostering RD&D and endogenous capacities*: By decision 1/CP.21, the TEC and the CTCN were requested to undertake further work on technology research, development and demonstration (RD&D) and on the development of endogenous capacities and technologies:

(i)   The CTCN did enhance its focus on RD&D, as exemplified by the discussions that occurred during the successive AB meeting,[11] the creation of a Task Force on RD&D (created at AB6 in order to define how RD&D should best be incorporated into its technical assistance services, and terminated at AB8 after completion of its work), and the recent organization of CTCN Scoping Workshop: Supporting "First-of-a-kind" Climate Technology in Copenhagen (22-23 May 2017). The CTCN is currently determining what could be its value-added, knowing that RD&D refers to diverse activities which are very costly, and that the CTCN has limited resources. Some of the technical assistance projects provided by the CTCN can be considered as RD&D projects, as the ones related to technology adaption (identified on the figure 10);

[8]   Decisions 25/CP.19, 13/CP.21, 15/CP.22.

[9]   Decision 17/CP.20, 13/CP.21, 14/CP.22, 15/CP.22.

[10] In its 2017 operating plan, the CTCN indicated in its overall approach for the fourth year of operations that: "*In line with the COP decision on linkages between the Finance and Technology Mechanisms, the CTCN is exploring ways to increase collaboration with the Green Climate Fund.*" which was specified by the following action related to the provision of technical assistance: "*Collaborate with GCF Secretariat, National Designated Authorities, and Focal Points in supporting developing countries to move visions to concept to full-fledged project proposals.*" and another one related to networking and stakeholder engagement: "*Create synergies and foster operational relationships with major multilateral donors in the field of climate change technologies, including multilateral and bilateral development banks, the Green Climate Fund, the Global Environment Facility and the Adaptation Fund to identify projects and requests with the highest potential of success, facilitate matchmaking opportunities between country stakeholders and multilateral donors, and encourage the funding of follow-up actions based on requests submitted to the CTCN.*"

[11] See for example: CTCN.2016. *COP Decisions on Research, Development and Demonstration as they relate to the* CTCN – AB/2016/7/8.1 CTCN.2016. *RD&D Task Force – Minutes of teleconference, 13 July 2016 – AB/2016/8/4.3* CTCN. 2017. *Matters relating to the Convention's Technology Mechanism, RD&D activities - AB/2017/9/6.*

Figure 10
Technical Assistance across the technology innovation cycle[12]
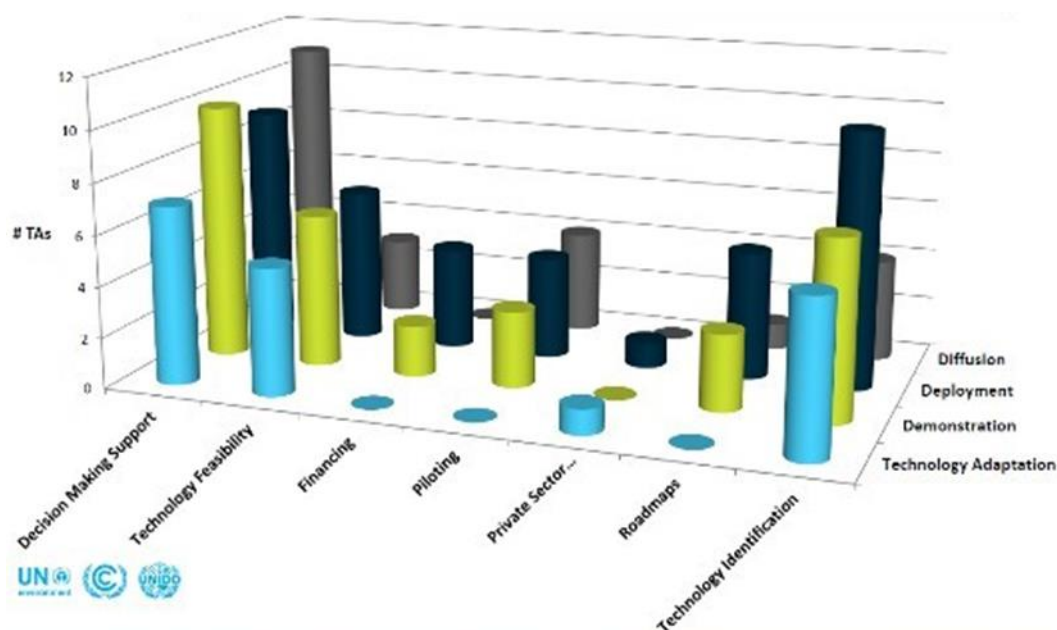
(ii)   The technical assistance provided by the CTCN always include capacity building which contribute to the development of endogenous activities. The 2017 operating plan focuses on the development of endogenous technologies for some of the CTCN activities, such as the regional and stakeholder for a;

(iii)   The 2017 operating plan of the CTCN confirmed the engagement of the CTCN towards such objectives, with specific actions planned.[13]

11.   *Fostering the implementation of NDCs*: The CTCN also started to work more closely in relation to country NDCs in order to further support the implementation of the Paris Agreement.

Evolution of the Programme of work

12.   The CTCN amended its initial Programme of Work to ensure that it remained relevant with its mandate and demands from developing countries. Throughout implementation, the CTCN diverted from its initial Programme of Work as follows:

(a)   The distinction between quick responses and response projects initially defined in the Programme of Work was not really implemented and the CTCN Secretariat reports only a total number of technical assistance implemented, without specifying the split between quick and project responses;[14]

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[12] Source: CTCN. 2017. Technical assistance requests and process – AB/2017/9/7.a.

[13] In its 2017 operating plan, the CTCN indicated in its overall approach for the fourth year of operations that: *"In 2017, the CTCN will put a strong emphasis on facilitating NDC implementation through its technical assistance and capacity-building services" "The CTCN will follow the recommendations of [] the Task Force on RD&D to explore the role of the CTCN in promoting Research Development & Deployment of climate technologies"* which was specified by the following actions related to networking and stakeholder engagement: *"Stimulate R&D collaboration, partnerships or twinning arrangements between the CTCN and universities/research institutions, among research institutions, and between governments and research institutions, as appropriate" "Mapping of capacity-building and technology needs at the institutional level for NDC implementation and identification of focus areas for mitigation and adaptation." "A technology roadmap for the implementation and scaling up of the identified technologies will be developed and support to NDEs to mobilise public and private investments for NDC implementation will be provided through the development of concrete funding proposals."*

[14] Source: CTCN.2016. 2016 targets and achievements – AB/2016/8/6.b.

(b)   Capacity building workshops and regional network meetings have been merged with the NDE training workshops and Regional Fora. However, these events mainly focused on NDEs, with a rather limited participation of institutions from developing or developed countries. These events mainly served as capacity building workshops, rather than regional networking meetings;

(c)   The incubator and the secondment programmes have been initiated to reinforce capacity building activities towards LDCs;

(d)   The service of remote technical advice or helpdesk has been rather limited compared to what was planned. Although an agreement has been signed with the Clean Energy Solution Center to provide technical advisory (defined as a remote assistance below 40 hours), such service has not been used so far. Few demands have been expressed by NDEs and local stakeholders, and have been managed by the CTCN and the Consortium Partners on a voluntary basis;

(e)   Webinars on specific topics have been organized or promoted by the CTCN.

Adaptation to the external context

13.   The request submission process includes an assessment of past and on-going efforts to address the issue raised in the request. The review process therefore integrates the history of actions and initiatives that may have already been undertaken on the given topic and the Secretariat ensures that the action of the CTCN can be complementary with any previous actions, or that they are not overlapping with any on-going work.

14.   The Paris Agreement and the Sustainable Development Goals are the two major macroeconomic and political events likely to affect and guide the work of the CTCN. The Paris Agreement in particular was identified by many stakeholders who participated to this review through the interviews and surveys.

Appropriateness of the funding model

15.   As of March 2017, the financial resources of the CTCN amounted to USD 50.7 million and are expected to reach USD 54 million in 2017, provided that all the pledges made at COP 22 are honored. In addition, the CTCN could secure 2.2 million for 2017, from collaboration with developing country NDAs: their GCF country Readiness allocation could fund CTCN technical assistance aiming at preparing concept notes for the GCF Readiness Programme.[15] The CTCN has also engaged in discussions with Annex I NDEs that may be in a position to contribute in-kind support for implementation of CTCN technical assistance. It is estimated than a minimum of USD 0.6 million could be secured this way. This expected budget is lower than the USD 67.6 million targeted for the first four years of operation, and, based on fundraising records and interviewees' feedback, it seems challenging to secure the USD 100 million initially budgeted for the first five years of operations. If no additional sources of funding are secured, it is expected that the CTCN will not have the resources to continue its operations at their current pace by 2017-2018.[16]

16.   The interviews and the e-surveys conducted for the purpose of this review underlined two main structural issues with regards to the funding of the CTCN:

(a)   The voluntary-based funding model has led to a limited core funding available for the CTCN and its operations. It has been reported that the Director and staff of the CTCN have had to commit a significant part of their time to seeking and securing resources, instead of being dedicated to implementing the CTCN services and providing strategic guidance to countries. This funding model also implies a strong lack of predictability for the CTCN over the medium and even short-term, thereby limiting its capacity to plan ahead for the expected levels of activity. As the CTCN is becoming better known on the international and national stages, expectations are rising and the number of technical assistance requests is expected to continue increasing, with growing expectations from developing countries. According to the CTCN, there is no guarantee that the

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[15]   CTCN. 2017. CTCN Financials in a Snapshot- AB/2017/9/8.1.

[16]   Source: CTCN. 2017. *Annual Operating Plan For the period: 1st January – 31st December 2017 - AB/2017/9/8.2.*

voluntary-based funding model will provide sufficient resources to deliver on growing expectations and needs;[17]

(b)   An important share (44%) of the CTCN resources are earmarked,[18] which had impacts on the alignment of funds available and priorities of the CTCN:

(i)   12% of the current financial resources are dedicated to a specific geographical area, or to specific activities (KMS, Technology library, etc.), and not available for other activities that might have a greater priority for the CTCN;

(ii)   32% of the total funds have been engaged by the CTCN under the approved Budget as per agreements with donors. In such case, the CTCN has to plan activities that will be financed by donors over a several year period and formalize it in an agreement. These agreements can theoretically be revised to ensure that they remain aligned with priorities and activities of the CTCN but the CTCN has not necessarily done so, which led to some funds being blocked or lost because the initial agreement no longer matched CTCN priorities.

17.   Due to this lack of resources and partially to earmarked resources, the CTCN was not able to mobilize enough financial resources to respond to all demands. Annual expenditures of the CTCN were consistently lower than initially budgeted, except for the first year of implementation. The total amount spent over the first three years after the establishment of the CTCN (2014 to 2016) is 59% lower than planned for in the different operating plans.

18.   To address the issue of lack of funding, an Advisory Board Funding Task Force was created at AB7 to assist the CTCN in raising funds by providing strategies to broaden the donor base and increase the level of contribution, and to find alternative opportunities for funding including through partnerships with philanthropic foundations and public-private climate technology initiatives. Since then, the Advisory Board members agreed to establish a Finance Taskforce at the 9th Advisory Board meeting. Its goals will be to develop, assess and recommend options for new sources of funding, with the aim of increasing predictability and sustainability of CTCN funding, and to ensure clarity and transparency of financial information to enhance the ability of the Advisory Board to approve the annual operating plan and endorse the budget.

Complementarity and synergies with policy advice given by the TEC

19.   The CTCN was invited by the COP to use the TEC's guidance on the preparation of TAPs and implementation of the results of TNAs when responding to developing country requests. The participation of the TEC Chair and Vice-Chair to the Advisory Board - and the attendance of the CTCN-AB Chair and Director to the TEC as an observer - has guaranteed a good integration between the two bodies of the Technical Mechanism. Recommendations from the TEC are regularly presented during Advisory Board meetings.[19] The publication of the Joint Annual Reports allows to work along common lines, and the CTC staff reported that they regularly use TEC briefs within the CTCN operations and activities. They also contributed to the elaboration of a policy brief on South-South and Triangular cooperation on technologies for adaptation in the water and agriculture sectors issued by the TEC.

20.   However, interviewees have indicated that the link between both arms of the Technology Mechanism could be further enhanced and that they could work together in a more integrated manner on country priorities and implementation of NDCs. In its 8th meeting, the AB suggested that the CTCN should be actively engaged in the TEC's RD&D Task Force, beyond its own taskforce.[20] In its 6th meeting, the AB recommended "*to*

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[17] Source: UNFCCC. 2016. Joint annual report of the TEC and the CTCN for 2016.

[18] Source: CTCN. 2017. *8a) Financial updates on CTCN operations* - document presented at the 9th Advisory Board meeting.

[19] Including: CTCN.2017. TEC Updates from TEC13 and TEC14 Meetings – AB/2017/9/6a; CTCN.2016. Update on TEC Matters – AB/2016/8/5.b; CTCN.2015. TEC 11 outcomes – AB/2015/6/4.ab; CTCN.2015. TEC 10 outcomes – AB/2015/5/4.

[20] CTCN. 2017. *Minutes of the eighth Advisory Board meeting - AB/2017/9/2.2*.

establish greater coherence between TEC and CTCN meetings to track progress and establish a common narrative".[21]

Complementarity and synergies with the UNFCCC Financial Mechanism

21.   Several stakeholders see a sheer potential in the capacity of the CTCN to support national organizations in framing proposals to be submitted to the operating entities of the Financial Mechanism. Further, interviewees have often indicated that the CTCN is well positioned to lay the groundwork for developing countries to apply for funding through the GEF and the GCF. The CTCN is thus fundamentally different and complementary to the Financial mechanism in the sense that it provides technical assistance and that it targets projects of much smaller scale than the GCF and the GEF, which should avoid redundancy.

22.   The bodies and entities of the two Mechanisms (TEC, CTCN, GCF and GEF) have been leading ongoing consultations on linkages between the two mechanisms through meetings and conference calls among the Chairs and Co-Chairs of the bodies. Although specific timeslots of the AB meetings are dedicated to discussions with GCF and GEF representatives, the GCF did not nominate any representative for the CTCN Advisory Board, as it was requested to do by the COP.[22] However, the GCF often participates in AB meetings through conference calls. The Standing Committee on Finance has nominated a member to the Advisory Board, ensuring that information is transferred to the observers of the SCF (GCF and GEF, as well as donors such as EBRD, KFW, CAF, World Bank, etc.).

23.   The CTCN and the GCF are jointly exploring a partnership wherein CTCN services and expertise strengthen proposals seeking GCF readiness and Project Preparation Facility support. It was mentioned repeatedly by interviewees that the CTCN has a unique position and adequate mandate to deliver key milestones of the enabling environment necessary for countries to submit proposals to the GCF to accelerate the scaled deployment of climate adaptation and mitigation technologies in developing countries. By collaborating with developing country NDAs and using their country Readiness allocation, the CTCN and GCF estimate that up to US$ 2.2 million can be accessed to deliver CTCN services in 2017. In line with this strategy, the CTCN has developed the following actions:

(a)   The technical assistance request template integrates an optional section on linkages of the request to GCF Readiness and Preparatory Support. The CTCN is therefore implementing some of its technical assistance using GCF readiness funds accessed via the country's NDA. In 2017, cooperation with the GCF was expected to support direct funding of 10-15 technical assistance requests through the GCF Readiness Funds. However, at this stage only two projects have already been accepted (for about 500k€), one proposal is under analysis by the GCF and another one will shortly be submitted. It is unsure that the initial target will be achieved. Besides, In June 2017, the CTCN and the GCF announced a new collaboration: the GCF will provide Readiness and Preparatory Support to the Governments of Ghana and Tonga for technical assistance delivered by the CTCN;

(b)   In 2016-2017 the CTCN developed a pilot module to help countries develop concept notes for the GCF based on the relevant climate change priorities of the countries (as identified in the NDCs, TNAs, GCF country programme, etc.).[23] These concept notes are the first step to receive grants, loans, guarantees or equity from the fund. The GCF also demonstrated interest in funding this module in additional countries using the GCF Readiness Support funds;[24]

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[21] CTCN.2016. Summary of Actions as a Result of Advisory Board Meeting 6 - AB/2016/7/5.1.

[22] Decision 25/CP.19, Annex II.

[23] An example is the outcome of the technical assistance project implemented in Jordan with the Ministry of Environment. Jordan required capacity building for technical employees in the Ministry of Environment as well as relevant NGOs and consultancies, to transform its Technology Needs Assessment into fundable proposals relevant to both domestic and international funding. The request included training and mentoring with a focus on project structuring, and was in particular relevant for projects with the Green Climate Fund. This project led to 25 certified engineer being able to translate any project idea to complete concept note according to Green Climate Fund (GCF) Form.

[24] Source: CTCN. 2017. *CTCN Capacity Building in a Snapshot - AB/2017/9/7.2.*

(c)   In order to increase coordination with the GCF, and to foster collaboration between NDEs and NDAs, the CTCN started in 2016 to organize its fora in parallel with the GCF structured dialogue (in line with decision 10/CP 22);

(d)   The CTCN is also considering the possibility to develop trainings related to the elaboration of GCF concept notes as a follow-up activity to the Incubator programme.[25]

24.   The CTCN also maintained its dialogue with the GEF to explore complementarity of its services with the mandate of the GEF.[26] Up to USD 1.8 million were secured for CTCN activities by the GEF, but these resources are based on ad hoc projects rather than being sustained: the two entities developed a pilot project to highlight possible options for future CTCN-related outputs to be developed as GEF projects, using GEF country allocation. This is therefore based on the appreciation of eligible projects. In light of the funding gap of the CTCN, and risk of overlapping, the 9th Advisory Board meeting concluded that the funding Task Force should increase its focus on exploring further cooperation options with the GEF.

25.   The GEF also supported a network of regional Climate Technology Centers which are hosted by multilateral development banks (MDBs) which mobilizes significant resources for providing services similar to the ones delivered by the CTCN. Depending on the area, these centers have different linkage with the CTCN:

(a)   Relations have been well sustained with the Asia-Pacific Climate Technology Network and Finance Center which is co-hosted by the UNEP, and with the Climate Technology Transfer Mechanisms and Networks in Latin America and the Caribbean which have integrated the Consortium Partners and the NDEs in their processes. On specific TA projects, the CTCN has been working collaboratively with the EBRD, which hosts the European FINTECC Alliance;

(b)   Little collaboration exists so far with the African Climate Technology Center, which developed its own network of local focal points.

26.   The CTCN actively engages with MDBs through other activities: several technical assistance projects have been collaboratively implemented with MDBs (such as EBRD or IDB), when they had scalable investment potential. Representatives of such organizations have also participated in some events organized by the CTCN (AfDB, IDB, etc.).

Complementarity and synergies with other climate related support programs

27.   The UNFCCC Secretariat participates in the Advisory Board meetings as well as other CTCN events and also engages with the CTCN on a regular basis to share information. This close relationship and the knowledge of the UN and COP processes demonstrated by the UNEP/UNIDO consortium ensured a smooth integration of UN guidelines into the CTCN work plan.

28.   To date, collaborative work with NGOs and research organizations has not been a focus for the CTCN, outside of capacity building activities that have occasionally gathered a broader range of stakeholders than national institutions and agencies. Environmental NGOs and research NGOs are represented at the Advisory Board meeting with one Advisory Board member each, who are able to relay the progress and messages of the CTCN to the community they represent. Nonetheless, cooperation has been occurring on a rather *ad hoc* manner.

29   The private sector appears as a critical partner for the CTCN with regards to developing an enabling environment for climate technology development and transfer and in particular with regards to enabling the scaling up of climate technologies.

(a)   Since its inception, the CTCN, together with DNV GL, has worked on private sector engagement. DNV GL undertook the task of engaging with businesses and bringing a business perspective to the CTCN's services, in particular during events;

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[25] Ibid.
[26] Source: UNFCCC.2016. *2016 report of the GEF to the COP. FCCC/CP/2016/6.*

(b)   The CTCN has also been cooperating with the Private Financing Advisory Network (PFAN). PFAN works specifically with the private sector on the identification of clean energy projects at an early stage and provides services to allow emerging technology solutions to reach financial closure. PFAN participated in several regional fora, in order to reach out to NDEs and expand the network, building stronger connections between the CTCN and the private sector. PFAN also helped sourcing and refining requests for projects about financing technology and securing investments. Through its collaboration with PFAN, the CTCN is creating precedent likely to trigger interest from the private sector in CTCN activities;

(c)   The CTCN managed to attract a significant number of private organizations in its network (almost 40% of the network) but feedback from interviewees suggests that the business community has not been involved enough in the activities and operations of the CTCN.

30.   The World Intellectual Property Organization (WIPO) is a key stakeholder that CTCN has been dialoguing with. WIPO developed the WIPO GREEN platform, an online marketplace meant to facilitate innovation and dissemination of green technologies. This tool focuses on building direct connections between providers and seekers of technology. The WIPO GREEN platform is rather a catalogue of technologies and does not provide the analytical and political assessment that the CTCN provides. In that sense, the KMS of the CTCN is broader than the WIPO GREEN platform as it contains policy related documents and impact studies. The CTCN and WIPO are nonetheless exploring ways to integrate data on hard technology from the WIPO GREEN platform to the KMS.

31.   The Adaptation Committee (AC) was established to promote the implementation of enhanced action on adaptation. In 2017, the AC announced plans to establish a platform to provide adaptation technical support to developing countries. The 8th meeting of the Advisory Board of the CTCN acknowledged the risk of overlapping with the technical assistance it provides. Coordination and collaboration between the services available from the CTCN and the Adaptation Committee was consequently encouraged and ensured, including through the participation of an AC member in AB meetings and the participation of the CTC secretariat in meetings of the AC.

B.   Effectiveness of CTCN services

Timely implementation of the CTCN

32.   Deadlines associated with the different steps related to the operationalization of the CTCN and to its implementation were initially defined in the Programme of Work 2013-2017, approved by the AB. However, it was noted that the delivery of the CTCN's activities and targets would depend on the availability of financial resources and the nature of requests from developing countries. The CTCN revised the initial timelines, through the elaboration of annual operating plans, in accordance to the availability of resources.

33.   Several interviewees agreed that the operationalization of the CTCN took longer than anticipated in the Programme of Work to reach full speed.

(a)   Although the first meeting of the Advisory Board was held in time in response to COP requests (2013), the first year was dedicated to setting up the organization and its processes. The CTCN could only start actual implementation and delivery of its service in 2014, with the first technical assistance requests received in February 2014 (first implementations started in September 2014) and with the launch of a first round of training workshops launched in the same year;

(b)   The lack of resources is viewed as the main factor that slowed down the operationalization of the CTCN. With no core resources allocated to it, the CTCN was dependent upon the securing of voluntary contribution to be able to start delivering its services;

(c)   However, it was noted that the structure of the CTCN, with the resources allocated by UNEP and UNIDO, and the support of consortium partners in their regions and sectors of expertise facilitated the process and enabled to reach full speed at a faster pace, once the organization and processes had been formalized.

34. Feedback from Advisory Board members suggests that the operationalization of the CTCN (including the training of NDEs, the creation of procedures, etc.) and the setting up of the KMS concentrated most of the efforts in the first two years of operations of the CTCN. With these two critical components of implementation now being set up,[27] the CTCN has been working more intensively on supporting technical assistance request submissions and delivering technical assistance projects,[28] as well as on expanding its network.

35. The CTCN has been able to continuously monitor outputs regarding a selection of quantitative indicators, including the indicators associated with the targets defined in the Programme of Work.[29] This monitoring system allows the CTCN Secretariat to report its achievements compared to its initial targets.[30] Additional indicators are also monitored and used by the CTCN to track the delivery of its services (especially for technical assistance requests: by stage, by objective, by sector, by geographical area, by eligibility, etc.), through the snapshots presented to the AB or on the CTCN website.[31] For technical assistance and some capacity building activities, the CTCN also gathered qualitative feedback on the outputs delivered. The CTCN is planning to perform a quality and effectiveness review across technical assistance portfolio in 2017, while process and procedures for M&E of non-technical assistance activities (capacity building, networking, etc.) are currently being structured.[32]

Provision of technical assistance at the request of developing countries

36. Requests are either directly submitted by NDEs, or by other national beneficiaries that NDEs informed of the opportunity to channel their needs through the CTCN's services:

(a) It is worth noting that most requests have been formulated by NDEs themselves or by national agencies (around 100 out of 164 requests),[33] which suggests a limited awareness about CTCN services outside of the scope of national institutions;

(b) Beneficiaries others than NDEs have been primarily informed and convinced to submit a request by their NDEs:

(i) Most of the beneficiaries indicated that they first heard about the existence of the CTCN directly from their country's NDE (70% of respondents) or through an event organized by the CTCN (22% of respondents), but rarely directly from the CTCN website (9% of respondents);

(ii) About half the respondents to the beneficiary survey declared that they had been strongly influenced and supported by their country's NDE in drafting and submitting a technical assistance request to the CTCN;[34]

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[27] The organization of a round of training workshops and two rounds of regional fora was critical in ensuring that the CTCN and its services be better known at the national and regional level. Through the empowerment of NDEs, these events consistently resulted in the submission of technical assistance requests.

[28] Technical assistance requests started coming in higher numbers after October 2015, with at least 10 new technical assistance requests being reviewed each month, and up to 30 currently.

[29] These indicators are: number of quick response interventions and number of projects implemented, number of international technology events/forums, number of regional public-private sector workshops, number of regional networking meetings, number of knowledge partners, number of remote technical advisory responses through helpdesk, number of capacity building workshops and training events, number of tools and information materials on the KMS, number of KMS resource page visits, number of KMS users, number of trained CTCN NDEs and clients. The number of public-private partnerships formed as result of workshops and the number of twinning arrangements as a result of networking events are analyzed in the impact and sustainability section.

[30] CTCN.2016. 2016 targets and achievements – AB/2016/8/6.b and CTCN.2015. 2015 targets and achievements – AB/2015/6/6.a.

[31] See https://www.ctc-n.org/technical-assistance/request-visualizations.

[32] CTCN. 2017. *9a) Monitoring and Evaluation (M&E) – CTCN M&E Framework – document presented at the 9th Advisory Board*.

[33] Source: CTCN (internal). 2016. *Contact list of Technical Assistance beneficiaries*.

[34] Noticed by 11 respondents out of 25 to the question "Why did you request technical assistance from

(c)   The selection and submission of requests necessarily goes through NDEs, which means that it depends on the resources, skills and willingness of NDEs to support and channel requests, with the potential risk that the NDE focal point does not have the time necessary to dedicate to CTCN services.

37.   The CTCN's selection criteria were critical in guiding and optimizing the request approval process. 80% of the beneficiaries and 89% of the NDEs of the respondents indicated that the selection criteria were available and clear.[35] With the increasing number of incoming requests and limited funding, the guiding principles, balancing principles and prioritization criteria facilitate the objective and adequate prioritization of requests.

38.   In many occurrences, the CTCN and consortium partners also directly helped identifying needs or projects that would be likely to match the eligibility and priority criteria of the CTCN. In these instances, consortium partners contributed to designing requests that were most suited for the mandate of the CTCN. As a result, only four requests have been rejected or deemed not eligible by the CTCN. The pipeline of eligible requests has been consistently growing, proof of the effectiveness of capacity building activities, events and communications to trigger the submission of relevant requests. In addition, the deployment of the Incubator Programme allowed to foster request submission by LDCs, which are meant to be prioritized to receive CTCN services.

39.   About 30% (51 out of 185) of the requests submitted as of May 2017 are eligible but not prioritized. This is partly the result of the limited availability of funding to implement the requests. Alternatively, the country from which the request originates may have already submitted several requests, and its requests are no longer prioritized, to ensure an equitable support to all countries.

40.   The current trend of request processing is much lower than what was expected initially. Out of the 185 requests received as of May 2017, 104 have been processed for quick response intervention or response project by the CTCN (38 projects were under design, 49 in implementation and 17 completed), while the Programme of Work for 2013-2017 targeted 125 to 190 quick response interventions and 70 to 95 response projects implemented by year 3. An additional 30 requests were being reviewed to determine eligibility and prioritization.

41.   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. Requests are well distributed with regards to the global distribution of non-Annex I countries and LDCs:

(a)   44% of requests originate from Africa, which represents 35% of non-Annex I countries;

(b)   29% from Asia, which represents 29% of non-Annex I countries;

(c)   22% from Latin America and the Caribbean, which represent 21% of non-Annex I countries;

(d)   3% from Oceania, which represents 9% of non-Annex I countries;

(e)   and 2% from Eastern Europe, which represents 5% on non-Annex I countries.

42.   The thematic distribution of requests is also rather balanced, although slightly skewed towards mitigation objectives (see figure 11). This suggests that the prioritization criteria have guaranteed the fulfilment of the CTCN's mandate thus far, supported by AB's guidance.
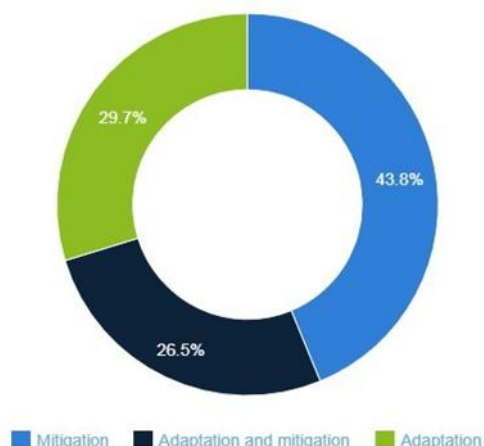
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the CTCN?".

[35] 20 out of 25 beneficiaries, and 44 out of 52 NDEs, agreed or strongly agreed with the following assertion: "*Following your request(s) for technical assistance to the CTCN would you say that selection criteria were available and clear?*".

Figure 11
Distribution of requests by objective (Source: CTCN)

43.   Several NDEs and beneficiaries who were interviewed and participated in the surveys indicated that the delay between the submission and the start of implementation was too long. The average duration between the submission of a request and the start of implementation approaches 250 workings days,[36] meaning that it has consistently exceeded the theoretical targets of the guidelines (see figure 12). The internal procedures of the CTCN presented at the AB5[37] give an indicative timeline of maximum 70 working days between the submission of a request and the beginning of implementation in the case of a response by the consortium, and 100 working days in the case of a response by a network member. In some cases this period reached almost two years, partially due to causes independent of the CTCN such as irresponsiveness from NDEs or limited staff resources and inadequate planning.

Figure 12
Theoretical and effective durations of the different steps of the technical assistance process (Source: EY, based on CTCN data)[38]
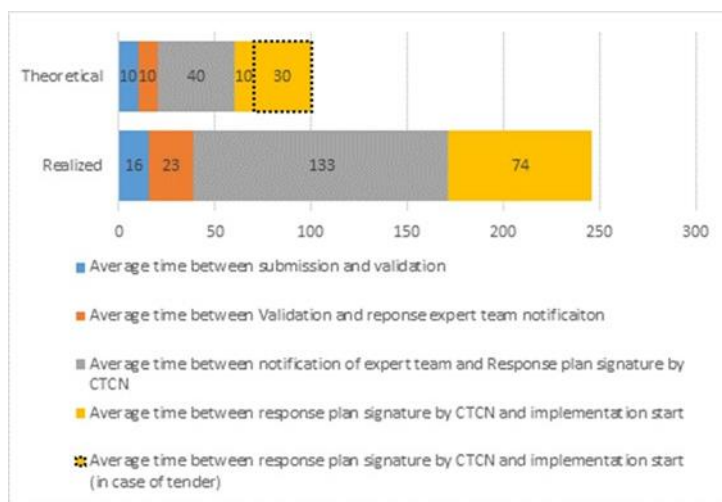
        (a)   On average, the Secretariat took 16 working days after the submission to produce a statement of eligibility on the requests (against 10 days targeted), followed by another 23 working days to designate and notify an expert team (consortium member) and start the design of a response plan (more than twice the number of days initially targeted for

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[36] Source: CTCN (internal). 2017. *Database of Technical Assistance requests.*

[37] Source: CTCN. 2015. *Technical Assistance Process and Procedures - AB/2015/5/04.*

[38] Based on: CTCN. 2015. *Technical Assistance Process and Procedures - AB/2015/5/04* and CTCN (internal). 2017. *Database of Technical Assistance requests* (for the 47 technical assistances which have reached implementation phase to date).

this phase). Such delay can be explained by the limited human resources of the CTCN, which have limited the pace at which the core team could review requests. The lack of capacity was another factor that affected the review process when the positions of adaptation or mitigation managers were vacant;

(b)   The total duration of the response plan design and validation stage averages around 133 working days, with an important variability, compared to the 40 working days planned for in the guidelines.[39] Interviews with consortium partners and NDEs and analysis of AB discussions[40] both indicated that the length of this process was a result of multiple iterations between the CTCN team, Consortium Partners and beneficiaries to streamline the requests and align to what can actually be delivered, prior to framing the response plan. Political and governance issues that NDEs may have experienced and that are independent from the CTCN's process have also resulted in significant delays (changing priorities or interlocutors). Consortium partners have also reported that part of this delay is due to their own lack of resource to undertake CTCN activities. With no dedicated budget and human resources, Consortium Partners have sometimes had difficulties allocating the time necessary to the design of the response plan;

(c)   The time between the signature of the response plan and the actual beginning of the technical assistance averages around 74 working days, and varies depending on the elaboration of a tender for network members or direct implementation by the consortium partner. This phase is seven times lengthier than the theoretical duration planned for in the guidelines. The selection of the technical assistance provider was identified by survey respondents as particularly long. Most partners have underlined that the tendering process (2 weeks) is too short to produce sensible proposals that would often require the involvement of more than one partner. Some requests were very technical, and it was therefore difficult to find an appropriate organization to develop the response plan, which delayed the design of the response plan.

44.   Overall the delays experienced during the TA process can be explained by:

(a)   The lack of resources of NDEs and local governance shortfalls which imply that NDEs in developing countries are not always able to fulfill their role in the most efficient way;

(b)   The multiplicity of stakeholders involved in the process and decision making;

(c)   The limited human resources of the CTC core team and of the Consortium Partners.

45.   Although some interviewees have underlined that the process was lengthy, the majority acknowledged that given the resources of the CTCN, they were still significantly lesser than with other international development organizations. Besides, all interviewees and respondents were positive with regards to the involvement of the CTCN staff, who is seen as easy to reach and responsive. More than 70% of the respondents to the NDE and beneficiary surveys indicated that they received an answer to their request in short-enough time.[41] In addition, 83% of the respondents agreed that enough support was provided by the CTCN team during the process.

46.   Overall, 76% of the NDEs and beneficiaries who responded to the survey expressed a good level of satisfaction with the technical assistance service (including 27% very satisfied).

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[39]   Source: CTCN. 2015. *Technical Assistance Process and Procedures - AB/2015/5/04*.

[40]   Source: CTCN. 2015. *Prioritization Criteria for Technical Assistance – Experience and Lessons Learnt – AB/2015/5/7: "A number of Requests that are deemed eligible have a wide scope of activities that need to de further refined and narrowed down during the Response Planning Stage. When substantive refinement and narrowing is required, this work has at times contributed to slow down the process of designing the Response Plan, and thus delaying the delivery of the technical assistance."*

[41]   72% of beneficiaries (18 beneficiaries out of 25 respondents) and 79% of NDEs (22 NDEs out of 28 respondents) strongly agreed with the following statement: Following your request(s) for technical assistance to the CTCN would you say that: I received an answer to my request in short-enough time?".

(a)   The vast majority of NDEs who responded to the survey and have benefited from the implementation of a technical assistance project already, agreed that the technical assistance fully responded to their initial request (52% agreed, 41% strongly agreed). Similarly, 71% of the beneficiaries who responded agreed that the technical assistance received responded to their needs. 100% of the partners having participated in a technical assistance implementation agreed that the Response Plan and terms of reference tendered by the CTCN corresponded to the expectations of the final beneficiaries;

(b)   More than 75% of the NDEs and beneficiaries declared that the technical assistance was implemented on-time, by comparison with the timeline defined in the response plan;

(c)   Around 90% of the beneficiaries and NDEs that responded to the electronic surveys indicated that the technical assistance they received had been smoothly implemented, with a good communication and cooperation with and among providers. However, a few network partners expressed a lack of feedback after the selection of the technical assistance providers (especially for bidders not selected), and some beneficiaries noticed an insufficient communication on the status of their requests (especially when classified as inactive);

(d)   Feedback received during the interviews confirmed the high level of satisfaction expressed in the surveys. However, a few NDEs and beneficiaries indicated that not enough financial resources were mobilized, and that not all the technical assistance initially requested had been provided. Due to broad demands and funding difficulties, the CTCN has explained that they had to refine the requests, and generally reduce the scope of work when defining the response plan.

Development of the Knowledge Management System

47.   In the initial Programme of Work for 2013-2017, it is stated that the knowledge management system (KMS) should include an interactive IT tool to disseminate and capture information on technologies and best practice, as well as to support the management of requests. The KMS was operational by the end of 2014 and is currently mainly formed by the website and an intranet for the CTCN. The last functionality of the KMS, a direct and reserved access for Network Members, still needs to be developed.

48.   The number of tools and information materials available in the KMS far exceeds the targeted levels. As of December 2016, there are 10,768 knowledge elements in the database (more than five times the targeted input). A striking increase in the number of resources occurred in 2016, with more 9,000 new resources being posted on the KMS. These include CTCN-created technical assistance information, publications and on-demand webinars as well as reports, publications and tools of partner organizations and countries. The KMS was initially mostly populated by Consortium Partners.[42] As the network is consistently expanding, Network Members are increasingly contributing to the KMS, providing webinars, lessons learned and technical fact sheets (as of May 2017, 5,814 information resources have been provided by Network Members).[43] A majority of network members did not contribute to the CTCN website (244 out of 288 as of May 2017), mostly because they were not solicited to do so. Out of those who contributed, roughly half contributed with already existing documents and half with documents specifically created for the website.

49.   The number of users and page visits targeted have been significantly exceeded by the end of 2016. An increasing number of visitors are returning to the website, which

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[42] Source: CTCN.2015. CTCN Knowledge Management System in a Snapshot, As of 11 August 2015 – AB/2015/6/5.4: "*At the same time, the online presence of the CTCN is creating greater visibility to the wealth of existing information provided by Consortium Partners and a rapidly growing number of Network Members.*"

[43] The Renewable Energy and Energy Efficiency Partnership, the Clean Energy Solutions Center, the Climate and Development Knowledge Network and the International Food Policy Research Institute provided 94% of these resources. Source: https://www.ctc-n.org/network/network-members. Source: https://www.ctc-n.org/network/network-visualizations and https://www.ctc-n.org/network/network-members.

suggests that the KMS is useful and is a relevant source of information for them.[44] 91% of the respondents to the NDE and beneficiary surveys indicated that they are satisfied with the KMS, peer learning and capacity building services of the CTCN. Among the respondents to the surveys, 72% of the NDEs declare that they use the CTCN's website while 61% of the beneficiaries and 48% of the Network Members and Consortium Partners say so. A majority of respondents declared that information is easy to find on the website (93%), that it is relevant to their needs (95%) and that it is sufficiently detailed (87%).

50.   Despite overall positive feedback on the website, the majority of interviewees confirmed that they use the KMS very rarely, and some of them identified specific difficulties when consulting the CTCN website:

        (a)   The CTCN website is not enough user-friendly and structured: the over-abundance of menus and sub-menus can be confusing, especially when using the website on a mobile phone;

        (b)   Some information is missing or updated not regularly enough: the process regarding how Network Members can apply to tenders is not clearly presented, the details about upcoming events (timing and place) are updated very late, little information is presented on the projects implemented by the CTCN, information is sometimes incomplete when it comes to the documents presented at the Advisory Board or not updated regarding the webinars, etc.;

        (c)   The technology library is perceived as highly complex and hard to navigate. The diversity of themes and filters has been reported as confusing and making it difficult to find the relevant information.

51.   All respondents taken together, the three main reasons for using the CTCN website are, by order of importance: looking for information on specific climate mitigation/adaptation projects conducted by the CTCN; on the CTCN and the services it provides; and on upcoming events. Fewer respondents have indicated that they use it to look for information on specific technologies and best practices, which indicates that the technology library itself is of lesser interest to the visitors of the CTCN website.

52.   Concerns were raised at the 7th meeting of the Advisory Board over the technology library, in particular with regards to its incomplete content, potential obsolescence of information, sustainability, and overall value for money. To respond to these concerns, a KMS Forward Plan was submitted for validation and adopted at the 8th meeting of the Advisory Board.[45] It was decided to discontinue efforts to create a comprehensive library and to focus more specifically on technologies emphasized in technical assistance requests as well as on facilitating links to related information (webinars, technical assistance, Network members, and technology information).

Provision of capacity building

53.   Capacity building workshops have taken place during regional fora, which are also used as regional networking events. The number of capacity building workshops organized thus far (21) matches the targets established in the Programme of Work. Additional workshops were held for the Incubator Programme to further support LDCs and local stakeholders to formulate relevant requests.

54.   To further support capacity building, the CTCN provides online webinars, which are available to the public. They contribute to disseminating information on specific climate technology-related topics. As of May 2017, 81 recorded webinars are available on the CTCN website. The CTCN reports that over 2,200 clients were trained through webinars to date, which is well above the target established in the Programme of Work. For some webinars, the video as well as some supporting documentation remain available to the public on the CTCN's website after the date of the webinar.

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[44] Source: CTCN. 2016. Internal document of the CTCN, *Communications Overview*.
[45] Source: CTCN. 2016. CTCN Proposed KMS Forward Plan.

55.   Respondents to the surveys have indicated a high level of satisfaction with the KMS, peer learning and capacity building activities (91%):

        (a)   73% of them agreed that enough relevant events and webinars were proposed. However, interviewees consistently indicated that these workshops should be more frequent and opened up to a broader range of stakeholders (Network Members, local SMEs, NGOs, etc.);

        (b)   The vast majority felt that the events and webinars were well organized (91%), but:

                (i)   A few NDEs and network members referred to some language issues, especially for webinars;

                (ii)   NDEs required to have a better visibility on the upcoming events, with date and places of meetings available late;

        (c)   The vast majority felt that the events and webinars tackled relevant issues (86%), and that the information received during events and webinars was of high quality (93%).[46] However:

                (i)   Some NDEs and partners that participated to these events regreted that the focus was more on the operations and services of the CTCN, rather than on innovation and technology transfer issues;

                (ii)   Several interviewees underlined the need for inter-regional workshops and fora that would allow sharing knowledge and lessons learnt across regions;

                (iii)   Webinars were deemed to be very general, and not targeting a specific audience or context. Provided the diversity and expertise within the network, the CTCN could provide more webinars on more specific topics;

                (iv)   NDEs also solicited the organization of more peer-to-peer meetings between NDEs to share return on experience on requests and projects and enhance replicability;

        (d)   According to the surveys submitted by the participants just after the webinars in 2016 and 2017, they moderately (57%) or entirely (37%) increased their knowledge on the topic;

        (e)   Interviewees reported that the workshops had been very useful in better understanding the role and services of the CTCN, as well as to be able to identify and develop better requests. In some cases, NDEs also felt empowered to replicate the capacity building to other relevant local stakeholders. However, some NDEs noticed a lack of follow-up from the CTCN after the meetings.

Organization and participation to networking events

56.   Based on the achievements reported by the CTCN:[47]

        (a)   The CTCN participated to 17 international technology events as of December 2016. The figure for these international technology events is above the target of 12 events by year 3 of the Programme of Work:

                (i)   Most of the time, the CTCN has participated to these events to raise awareness on what is the CTCN in order to mobilize new beneficiaries and Network Members;

                (ii)   The CTCN also co-organized international technology meetings, such as the East African Stakeholder Engagement Forum For climate Friendly Technologies in Nairobi with PFAN, and the meetings held during COP 21 and COP22;

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[46] This result is consolidated by the results of the surveys submitted by the participants just after the webinars in 2016 and 2017, with 22% assessing the content of webinars to be of excellent quality, 41% very good, and 31% good.

[47] Source: CTCN. 2016. 2016 targets and achievements – AB/2016/8/6.b and CTCN. 2015. 2015 targets and achievements – AB/2015/6/6.a.

(b)   20 regional networking meetings have been held during the Regional Fora organized by the CTCN, which is within the targeted numbers for year 3 of the Programme of Work. However, the number of developing country stakeholders other than NDEs that participated to these events is rather limited, compared to the NDEs and partners (43 participations out of a total of 650 participations);[48]

(c)   The CTCN participated in more than 20 public-private sector workshops, which included its own workshops, and those of partners.

57.   Generally speaking, interviewees were satisfied with the networking events. It was however suggested in several instances that the CTCN should foster more active interactions between Network Members in order to build a dialogue on replicability and transferability, multi-country approaches. The Network Member meeting held at COP22 was pointed out as very useful and an example of a valuable event to be replicated more often.

C.   Efficiency of CTCN operations

Governance

58.   According to interviewees, the Advisory Board is rightly sized and its composition[49] well-balanced with regards to several criteria such as developed/developing country balance, representation of the NGO community and representatives of UNFCCC constituted bodies.[50] Provided the nature of the CTCN's work and growing expectations from developing countries, there is a need for enhanced technical expertise within the Advisory Board for it to continue providing the adequate strategic guidance.

59.   Since its first meeting, the Advisory Board has taken various decisions including the approval and occasional adjustment of strategic documents,[51] and has presented recommendations and demands to the CTCN secretariat.[52]

60.   Coordination with the TEC and other bilateral and multilateral collaborations are also facilitated by AB meetings, to which representatives of partner institutions participate through specific discussions.

61.   Task Forces composed of volunteer members of the Advisory Board (AB) were also constituted to tackle several issues critical to the proceedings of the CTCN: on RD&D

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[48] CTCN (internal). 2016. *List of participants to CTCN events*.

[49] The current members of the AB are: 16 government representatives; One member representing the Standing Committee on Finance; The Chair and the Vice-Chair of the Technology Executive Committee (TEC); 2 co-representatives of the Adaptation Committee One representative of RINGOs (Research and Independent Non-Governmental Organizations), one of BINGOs (Business And Industry Non-Governmental Organizations) and one of ENGOs (Environmental Non-Governmental Organizations) and The director of the CTCN representing the CTCN; . While invited to do so, the GCF has not nominated any representative to the CTCN's advisory board to date.

[50] Source: https://www.ctc-n.org/about-ctcn/advisory-board.

[51] Notably: the 2013-2017 programme of work (AB2); the definition of Modalities and Procedures, criteria for prioritizing requests from developing country Parties, and guiding principles and criteria for establishing the Network (AB2); the creation of the request incubator programme (AB3); the creation of the secondment programme (AB5); the revision of the M&E process (AB6); the adoption of the KMS forward plan (AB8); and the adoption of annual operating plans and budgets.

[52] With regards to (and not limited to): - Improving the reporting to the Advisory Board, by demanding to increase the transparency of the CTCN budget presented to the board (AB4 and AB6), to develop case studies illustrating technical assistance projects (AB7 and AB8), or to hear directly NDEs and implementers on their experience (AB7), - Deploying the technical assistance request system, by recommending to change the management of requests (including promoting multi-country requests and documenting the request implementer selection process, AB4), to encourage more requests directly based on priorities identified in TNAs (AB5) or to reach out to countries that had not nominated their NDE (AB5), - Better structuring of the network, through the recommendations of developing a network member manual (AB4) or increasing the involvement of Network Members in responding to requests (AB8), - Reinforcing relationships with multilateral donors, notably the GEF (AB3 and AB6), the GCF and Development Banks (AB6), - Revising the objectives and functionalities of the KMS (AB3 and AB6).

(created at AB6), Funding and Financial visibility (created at AB7), Finance (created at AB9), and Operations (created at AB9).[53] These Task Forces conduct inter-sessional discussion and are invited to report to the Advisory Board. The establishment of taskforces that are able to meet on a more regular basis than the AB is seen as efficient to advance work on specific strategic matters.[54]

62. However, several stakeholders have reported a lack of clarity over the role of the AB, since it serves different purposes:

(a) Assess the implementation of decisions adopted by the COP once a year, and provide guidance on strategic matters;

(b) Discuss operational issues, using Task Forces when necessary on particularly looming issues, and provide advice to the CTC in its operations;

(c) Ensure reporting to donors, who are represented in the AB and require evidences to guarantee that public funds are spent adequately, in a transparent and "value for money" approach. However, this also adds a political layer to the guidance, hence the lack of clarity reported by interviewees.

63. AB members have expressed a need for more regular and quantitative information about the CTCN progress, in order to better follow implementation and delivery of the CTCN services, which would allow them to provide more comprehensive guidance. This suggests that the use of time during AB meetings was not optimal, as a result of too partial communication prior to the meetings. Similarly, concerns were raised by donors about the ability of the CTCN to demonstrate value for money, which suggests that CTCN communications should be more regular and based on concrete indicators, to ensure that donors do not lose faith in the CTCN's capacity to deliver impacts. The AB required the CTCN to provide case studies on technical assistance implemented, in order to better communicate the results of the CTCN's activities. [55]In addition, there is strong scrutiny for the CTCN to be more transparent over the criteria of its donors, which determine the allocation of funding between the different CTCN activities and projects.

CTC Core Team organization and resources

64. The CTCN is not managed as an independent institution but rather as a project of both UNEP and UNIDO, and relies on various processes of those two institutions. As an example, the financial reporting is done following UNEP's process and the tenders are launched on UNIDO's platform.

65. The partnership between UNEP and UNIDO is deemed to be efficient to deliver the CTCN mandate:

(a) These two organizations have specific expertise on adaptation and mitigation technologies, and were able to provide experts until the moment when staff were specifically hired for the purpose of the CTCN;

(b) The integration of the two organizations within the UN ecosystem and their advanced knowledge of procedures, processes and stakeholders within the UNFCCC and COP context are a key asset to ensure the CTCN's responsiveness to the COP;

(c) The procedures and processes already in place in these organizations have facilitated the operationalization and management of the CTCN, by building upon already existing processes;

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[53] A suggestion was made during AB8 to allow Network Members and observers to contribute to those taskforces.

[54] Extract from CTCN. 2017. *Minutes of the eighth Advisory Board meeting - AB/2017/9/2.2.*: "the use of task forces was deemed to be very useful for enhancing Advisory Board intersession processes and recommendations to the CTCN. A suggestion was made to invite Network members and observers to contribute to the work of future task forces."

[55] CTCN.2016. Report of the 7th meeting of the AB meeting. AB/2016/8/2.2. "In advance of its next meeting, the Advisory Board requested the CTCN to develop a series of case studies in order to better communicate the effectiveness and impacts of the CTCN's work."

(d)   The two organizations are deemed to work with good complementarity, with a clear distribution of roles;

(e)   The extensive network of local UNEP and UNIDO offices and the three consultants dedicated to CTCN activities positioned in each region have allowed a good geographical coverage of the organization, and facilitated contacts and coordination with local stakeholders such as NDEs, Consortium Partners, etc.

66.   Resources allocated to the CTCN in the first place were assessed to be limited. The organization's team is rather small compared to the scope of work it is expected to deliver. The is made of a small core team with five professional managers (respectively in charge of financial management, mitigation issues, adaptation issues, capacity building activities, and Knowledge Management System and communication) and two administrative staffs are based in the UN offices in Copenhagen. They are supported by consultants (regional and technical experts) and by human resources from UNEP and UNIDO (including one coordinator from each body).

67.   In this respect, the support of the Consortium Partners and the mobilization of Network Members is critical for the CTCN to be able to deliver on its objectives. On some occasions, positions have been unoccupied following unplanned departures, which led to difficulties in terms of management.[56]

68.   Overall, interviewees have acknowledged the engagement and responsiveness of the CTC core team. The expertise within the CTC core team was recognized by interviewees as valuable and able to support the implementation of the services, in particular with the submission of technical assistance requests. It was however noted by several interviewees that the team lacks relevant expertise on adaptation.

69.   Several interviewees have pointed out the need to have a staff within the CTCN core team who would be dedicated to the dialogue with donors and governments, in order to secure funds on a longer term and also to align the expectations and criteria of donors with the priorities and outputs of the CTCN. This statement results from the observation that the CTC core team had to dedicate a significant amount of its time to seeking and securing funding, which it was not meant to do. This dialogue with governments and donors is necessary and must be an ongoing process and cannot be restricted to the responsibility of staff who should be dedicated to delivering the CTCN's core services to countries.

Integration of Consortium Partners

70.   The 11 Consortium Partners are: Asian Institute of Technology; Bariloche Foundation; Council for Scientific and Industrial Research; The Energy and Resources Institute; Environment and Development Action in the Third World; Tropical Agricultural Research and Higher Education Center; World Agroforestry Centre; Deutsche Gesellschaft für Internationale Zusammenarbeit; Energy Research Centre of the Netherlands; National Renewable Energy Laboratory; UNEP-DTU and UNEP-DHI Partnerships. Additionally, DNV GL was appointed as strategic partner later on.

71.   The regionalized organization of the CTCN, with consortium partners well identified and positioned in their region of expertise, has been a strong asset to support:

(a)   Communication and awareness raising efforts in the regions, with the provision and dissemination of material and tools about the creation of the CTCN and its services;

(b)   The organization of regional events (Regional Fora, Incubator Programme, etc.), by facilitating the logistics and the identification and mobilization of local stakeholders.

72.   Consortium members have been involved in a variety of the CTCN's services depending on their specific technical and regional expertise:

(a)   All Consortium Partners have contributed to drafting Response Plans (in response to Technical Assistance requests) in a rather balanced way;

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[56] That was for example the case after the departure of the financial manager officer.

(b)   All but one have led the implementation of a technical assistance project;

(c)   All have organized at least one webinar (UNEP DHI partnership organized 10 sessions);

(d)   With regards to the KMS, GIZ and CSIR have been particularly active with respectively 181 and 14 publications on the website while most of the other partners did not contribute to it;

(e)   Consortium partners have participated to regional fora depending on their geographical location.[57]

73.   The Consortium Partners were valuable partners to formulate all response plans for the incoming technical assistance requests, and to provide advice to the CTC for the assessment of incoming requests. Despite the structural advantage of having regional Consortium Partners to design response plans, it was often mentioned that the lack of resources within the consortium partner organizations has led to significant delays.

74.   Nearly 80% (50) of the technical assistance projects in implementation or completed were directed to Consortium Partners through the "quick response intervention" process, which technically saved time normally allocated to the tendering process:

(a)   Consortium partners have contributed to the operationalization of the technical assistance services very early on, when the CTC could not yet rely on its network to implement technical assistance projects. This trend should however steadily reduce as the network grows with more members in capacity to implement technical assistance projects, and as concerns arise about the need to work with local stakeholders to empower local skills and resources;

(b)   More than 80% of the beneficiaries and NDEs that responded to the electronic surveys indicated that the providers of technical assistance (mainly Consortium Partners) mobilized the appropriate resources in terms of capacity and skills;

(c)   Several NDEs have also expressed interest in being more involved in the choice of the implementing partner to ensure that their prior experience with partners is taken into account to further improve the implementation process.

Mobilization of Network Members

75.   As of March 2017, 265[58] organizations from 64 different countries were part of the network (193 as of July 2016),[59] which is well above the initial target of 200 members by the end of 2016. Since its inception, the network has grown steadily, but an exponential engagement rate of new network members will be required to reach the goals of 500 partners by 2017 and 1000 by 2018. In light of the diversity and recent expansion of the network, it is assumed that the relevant expertise is now available within the network in most cases. The intranet of the CTCN now contains a matchmaking tool that analyzes technical assistance requests by country, thematic area, etc. and ranks partner organizations according to their relevant experience and expertise with regards to the request.

76.   The most important criteria for membership is the ability to deliver the CTCN's mandate by having adequate size as well as organizational and financial stability. So far, only two applications have been refused and 25 were under assessment as of 1 March 2017. At its 6th meeting, the Advisory Board decided to suspend until further notice the initial 2 years expiration period for CTCN members that are not active or do not fit the criteria anymore.

77.   The distribution between different sectors of expertise is also rather balanced (see figure 13 and 14).

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[57] Data compiled by the consultant based on the information for each Consortium Partner (https://www.ctc-n.org/about-ctcn/consortium-partners accessed on 20 April 2017).

[58] Source: CTCN. 2017. *Climate Technology Network in a snapshot – As of 1 March 2017 - AB/2017/9/7.3*.

[59] Source: CTCN. 2016. *Climate Technology Network in a snapshot – As of 15 July 2016 - AB/2016/8/7.3*.

Figure 13
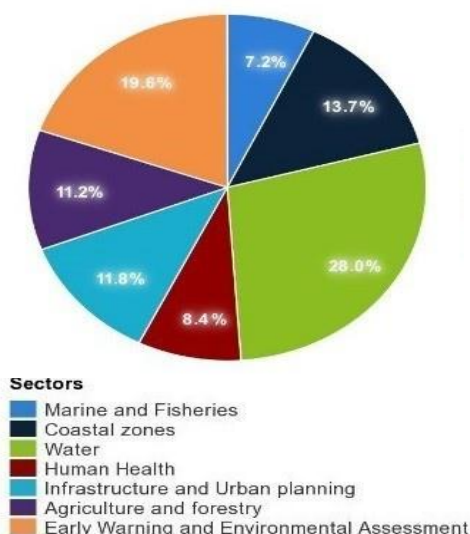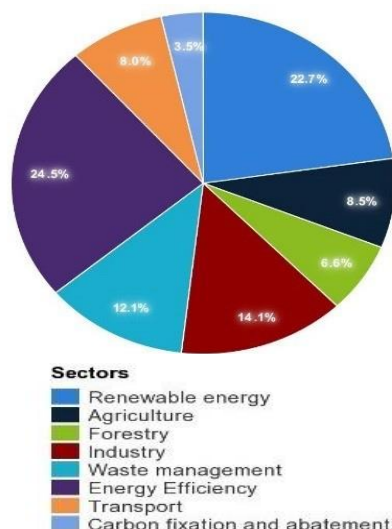**Adaption sector expertise (Source: https://www.ctc-n.org/technical-assistance/data)**

Figure 14
Mitigation sector expertise (Source: https://www.ctc-n.org/technical-assistance/data)

Sectors
- Marine and Fisheries
- Coastal zones
- Water
- Human Health
- Infrastructure and Urban planning
- Agriculture and forestry
- Early Warning and Environmental Assessment

Sectors
- Renewable energy
- Agriculture
- Forestry
- Industry
- Waste management
- Energy Efficiency
- Transport
- Carbon fixation and abatement

78. A significant number of interviewees and all network members who were interviewed noted the low level of involvement of the network, despite the expertise available and the willingness of Network Members to contribute to the work of the CTCN:

(a) As of December 2016, only 20% of the technical assistance projects completed or under implementation had been carried out by Network Members (12 out of 61). Having designed response plans, Consortium Partners were often better placed to implement it and also incentivized to do so.[60] However, out of the 29 technical assistance requests that have entered in implementation phase since the beginning of 2017, half are being implemented by network members. CTCN projections for the whole year suggest that network members will implement 60% of technical assistance projects in 2017;

(b) Only 20% of the webinars have been organized by Network Members (16 out of 81 webinars organized or promoted);

(c) 18% of current Network Members have participated to the regional fora or events organized by the CTCN so far;

(d) More than 85% of the members have not contributed to the CTCN's website. This indicates that the CTCN did not sufficiently leverage its network for the creation of knowledge. Interviewees reported not having been solicited to contribute to the KMS. In some instances, Network Members who have implemented a technical assistance projects did create knowledge and online material that was not appropriately relayed on the CTCN website.

79. The dissatisfaction of some of the Network Members puts the network's growth at risks. While connection (networking with other actors involved in climate change mitigation and adaptation) and commercial opportunities (getting access to the tenders organized by the CTCN) are the two most cited reasons for which members have decided to join the network, they are also the two aspects with which members are most dissatisfied:

(a) Dissatisfaction with the commercial opportunities offered by the CTCN is rather significant (38% of the 88 network members that responded to the survey were dissatisfied or very dissatisfied with this aspect). Firstly, Network Members reported a lack

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[60] Due to limited budget for designing response plans (USD 6,000 compensation which does not cover the actual resources that go into this contribution), Consortium Partners mentioned that a lot of their contribution ends up being in-kind contribution which they intended to capitalize by designing response plans that they are likely to implement themselves.

of relevant communication, and a lack of information about the requests in the pipeline. Some members also indicated that they lack feedback on their bids to tenders: they do not receive information on which entity was selected to perform the technical assistance and why their bid was deemed unsatisfactory. For instance, it was noted that the evaluative criteria were not clearly provided to the tenderers;

(b)   Some dissatisfaction with the networking activities of the CTCN was observed (28% of the 88 participants are dissatisfied or very dissatisfied with this aspect). Respondents to the survey and partners interviewed indicated that the CTCN does not provide enough occasions for Network Members to interact with each other and with other climate change stakeholders. The event organized at COP22 was highly appreciated and it was mentioned that such events should be organized more regularly.

Involvement of NDEs

80.   Several beneficiaries have indicated that they had not heard about the CTCN and the NDE prior to *ad hoc* discussions with the local UNEP office or prior to being contacted by the NDE itself. This suggests that efforts engaged in raising awareness about the CTCN services may not be sufficient, due to regional fora and networking events not reaching out to a broad enough audience, and to a lack of resources for NDEs.

81.   NDEs are not necessarily hosted by the same national agencies/ministries as other UN focal points, which may be confusing for local stakeholders. Thus far, the CTCN organized workshops bringing together UNFCCC focal points of several initiatives from selected countries.[61] These workshops stimulate the discussion on national priorities and foster synergies between national focal points to ensure that the deployment of climate technologies is supported in a coordinated and efficient manner by all initiatives.

82.   The role of NDEs is well understood by requesting parties once they are informed about the existence of the CTCN and of a NDE within their country. Almost 90% of the beneficiaries indicated to have a clear understanding of which organization is the NDE of its country, what its role is and how to contact it.

83.   The lack of core funding for the CTCN implies that NDEs do not have a dedicated budget to undertake their role. The commitment of NDEs relies on the willingness of countries and governments to invest time and money in CTCN activities and NDEs have reported that they sometimes lack support and recognition from their national ecosystem and other UNFCCC focal points.

84.   Through e-surveys and interviews, NDEs have consistently reported that they do not have enough capacity to fully deliver on their role as an NDE whether it be in terms of human resources (with less than one full time equivalent dedicated to CTCN activities), infrastructure or material. This for example limits their capacity to effectively and efficiently guide project proponents to submit an appropriate request, and to support the coordination of the whole process.[62]

85.   NDEs who participated in the Incubator Programme indicated that they were able to better communicate about the CTCN and their role as a NDE after the training received as part of the Programme. As a result, they were clearly identified by potential request proponents and were able to submit several requests.

86.   Due to political changes, there is an important turnover of NDE focal points, with a subsequent risk of losing capacity. Among the 62 NDEs which responded to the electronic survey 60% of them have been NDE focal points of their country for less than 2 years.

Communication

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[61]   For instance the workshop on how to mainstream technology in climate action plans held in Nairobi on 30-31 May (https://www.ctc-n.org/news-media/galleries/workshop-how-mainstream-technology-climate-action-plans-nairobi-30-31-may).

[62]   Several Consortium Partners and Network Members have indicated that the requests often need an important work of streamlining to ensure that they are aligned with the CTCN's mandate and capacities. From the initial proposal to the actual start of implementation, many iterations with the NDE and proponents are necessary to refine the requests, response plans and response project.

87. The CTCN formulated a communication strategy to address external and internal communication issues in a comprehensive manner. Several means of communication have been developed, among which brochures, joint annual reports, and most notably the Knowledge Management System and the website. These communication tools have supported the deployment and implementation of the CTCN.

88. The information and support given by the CTCN (core team and consortium members) were satisfactory and helped the beneficiaries submitting their requests; 92% of beneficiaries and 93% of NDEs indicated that enough information was available on the submission process.

89. External communication has proven to be efficient to expand the network, but existing members have underlined a lack of clear communication about CTCN projects and about their potential engagement, which has resulted in some cases in a loss of interest in the CTCN Network Membership. In addition, the lengthy delays required to refine requests and translate it into implementable response projects suggest that external communication with NDEs and potential beneficiaries may not be clear enough about the selection criteria and capacities of the CTCN. NDEs have however pointed out the availability and good communication with CTCN staff as a clear factor of success of their technical assistance projects.

<u>Development of processes and procedures</u>

90. The CTCN formalized its processes and procedures with several documents that were presented and reviewed by the Advisory Board:

(a) The general operating structure of the CTCN was defined in the Programme of Work 2013-2017, which lays out the important modalities of implementation of the CTCN, to guarantee the delivery of its vision and mandate;

(b) Annual operating plans are published each year to develop the Programme of Work further, be responsive to the changing context and build upon the experience of previous years;

(c) Specific documents have been issued for several key components of the CTCN activities: technical assistance process and procedures, technical assistance prioritization criteria, a Communications Strategy, Network membership criteria, the role of Consortium partners, M&E process and procedures, etc.;

(d) Some of these processes have been clarified by updates taking into account lessons learnt from first activities. For example, selection criteria of technical assistance request were first presented and approved during the 2nd meeting of the AB (September 2013), and the overall process was clarified and approved during the 6th meeting of the AB (September 2015) following the recommendation of the AB during its 4th meeting.[63]

91. During the first years of the implementation of the CTCN, the process related to the selection of the technical assistance provider (consortium partner or network member) was considered as being not clear enough and lacking of transparency according to the surveys and interviews conducted with beneficiaries, NDEs and Network Members. Some Network Members also expressed difficulties concerning the call for proposals, with too short deadlines, unclear TORs or insufficient provisional budget compared to expected tasks. The CTCN took some time to develop procedures for submitting a technical assistance request, which have been reported as straightforward and simple enough by request proponents who have been interviewed.

92. The fact that the CTCN is still developing a framework for the monitoring and evaluation of technical assistance activities does represent a significant limit to the evaluation of outcomes.[64] Up until now, the CTCN relied on qualitative assessment of

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[63] Source: CTCN.2015. *CTCN Technical Assistance Process and Criteria for Responding to Country Requests – AB/2015/6/7a.*

[64] As of May 2017, the M&E framework is being finalized. It should be validated this year by the Advisory Board and deployed promptly. The M&E framework will allow monitoring and evaluation of key performance indicators of the CTCN's progress and impact, for both technical assistance and

technical assistance projects that have been implemented and on the KMS to collect and report data.

93. As of March 2017, the implementation of those procedures was still in its initial phase. At the request of some Advisory Board members, the CTCN consulted with and received input from the Norwegian Agency for Development Cooperation (NORAD) and GIZ on this framework, notably to clarify the outcomes and impacts to be achieved in terms of non-technical assistance activities and the corresponding indicators.

94. The monitoring of technical assistance activities includes a dashboard to monitor activities (ex. number of technical assistance projects at the different stage of implementation) as well as a template to be jointly filled in by the technical assistance provider, the NDE and the beneficiary once the project completed to assess the delivery, the outcomes and the intended impacts (as of April 2017 14 technical assistance projects have been assessed).

Allocation of financial resource

95. During the first operating year of the CTCN, significant resources were allocated to the KMS, peer learning and capacity building activities (30% of the budget according to the initial Programme of Work). This was in part due to the set-up of the KMS infrastructure and to the launch of the first training workshops and the Incubator Programme. The KMS is often seen as a costly and the low level of usage of the technology library supports the argument that it should not represent an important share of the CTCN's budget. Such concerns were raised at the 7th meeting of the AB. The KMS Forward Plan,[65] adopted at the 8th meeting of the AB, provides guidance so as to better allocate the funds to the KMS. In particular, the structure and ambitions of the technology library were downgraded. In 2016, these activities represented only 2% of the actual expenditures.[66]

96. Since the CTCN is fully operational, technical assistance services have started to require more resources as the number of requests received increases. As initially defined in the Programme of Work, they now represent the largest share of the expenditures, even if lower than expected.[67] As a result of financial constraints and a lower than expected quantity of requests submitted, the number of technical assistance projects that have been implemented to date is significantly lower than what was outlined in the Programme of Work for 2013-2017. 32 technical assistance requests that have been deemed eligible[68] are not prioritized due to the lack of financial resources to implement the projects, the need to prioritize other requests from countries that have not received technical assistance yet, and to prioritize requests from LDCs, in order to reach the desired geographical and economic balance.

97. Several interviewees suggested that the CTCN has not invested enough in capacity building and networking events, to foster training, collaboration, knowledge sharing and partnerships. Outreach, networking and stakeholder engagement activities represented 8% of the expenditures in 2016,[69] and are critical to the fulfilment of the CTCN mandate.

98. In this context of financial constraints, CTCN operations represented a more important share of the overall expenditure than what was expected, due to fixed costs.[70]

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non-technical assistance activities.

[65] Source: CTCN. 2016. *CTCN Proposed KMS Forward Plan*.

[66] Source: CTCN. 2017. *8a) Financial updates on CTCN operations* - document presented at the 9thAdvisory Board.

[67] 60% of the 2016 expenses compared to 77% of the budget planned in the Programme of Work 2013-2017 or 67% of the 2016 operating plan.

[68] Among the 52 inactive requests: - 32 requests are not prioritized because of a combination of factors: financial resources limitation, need for serving the large possible amount of countries, LDCs considerations and geographical balance; - 1 request is not prioritized because of national security issues (request from Syria); - 15 requests were withdrawn by the NDEs; - 4 requests were considered not eligible.

[69] Source: CTCN. 2017. *8a) Financial updates on CTCN operations* - document presented at the 9thAdvisory Board.

[70] 25% of the 2016 expenses, compared to 12% of the 2016 planned budget.

Cost-effectiveness of the CTCN

99.   Most interviewees indicated that the CTCN was rather cost-effective and able to deliver substantial outputs, despite the limited resources available. Except for technical assistance projects, the CTCN delivered outputs in line with the targets established in the Programme of Work, with less budget than initially planned. In addition, the potential for replication and leveraging of CTCN activities through synergies with MDBs and the GEF and GCF opens space for delivering even greater impacts. Interviewees underlined that the CTCN processes and procedures are less bureaucratic than expected, in particular compared to other UN and international development organizations.

100.   Interviewees generally agreed that the budget allocated to technical assistance projects was often too small for the expected results, and nonetheless demonstrated a high level of satisfaction with the projects delivered by the CTCN. Beneficiaries all mentioned that the technical assistance projects delivered as much outputs it could with the available budget. Some implementing partners and NDEs underlined that the response projects sometimes did not budget for unplanned contingencies and logistics, suggesting that the budget was rather tight for the expected activities. Wherever possible, the CTCN shared costs and built on available knowledge and material from its partners.

101.   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.

D.   Impact and Sustainability

Monitoring and assessment of effects and impacts

102.   The Programme of Work of the CTCN provides indicative outcome targets only for the fifth year of implementation in order to take into account the necessary delay between the implementation of any activity and its long term effect.

103.   Figure 15 shows the distribution of requests by type of assistance, including requests that are still in the design or review phase. It appears that the majority of requests relate to decision-making tools and/or information provision (30.2%), feasibility of technology options (22.1%) and financing facilitation (18.6%). This gives an indication of the likely outcomes of the CTCN's action in the medium and long term.

Figure 15
Distribution of requests by type of assistance[71]
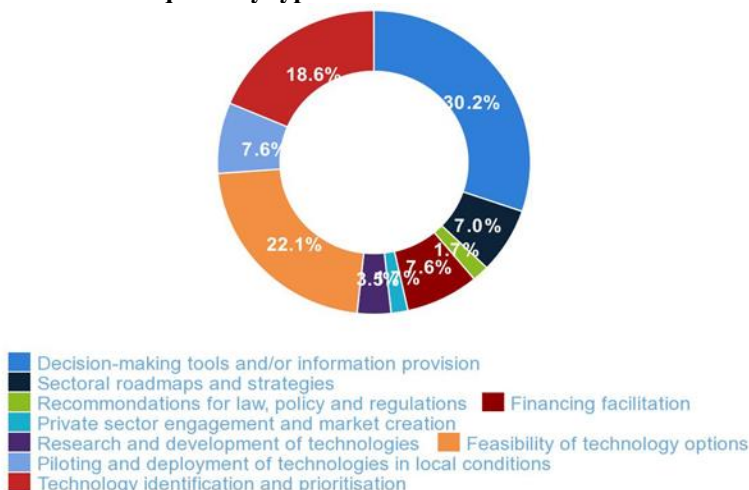
104.   The CTCN developed an M&E process that foresees a double check with the implementer of the TA on the outcomes of the TA, at the beginning of the implementation and at the end of the implementation. At the end of each TA, the implementer fills in a TA closure report including results of the TA as well as the expected impacts after the TA. This

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[71]   Source: https://www.ctc-n.org/technical-assistance/request-visualizations.

information is collected in a systematic manner and aggregated at the CTCN Secretariat level (see table 9).

Table 9
Outcomes indicators: targets and achievements (Source: EY, based on CTCN data)

Outcomes indicators[a]	Targets for the 5th year of implementation (2017)	Achievements by the end of 2016
Amount of climate technology investments deriving from CTCN assistance / Post-Response Plan intervention funding, directly or indirectly attributable to CTCN activities	USD 0.6 billion	- USD 5,000 officially committed; - USD 1.14M under direct negotiation or submitted to investors/donors; - USD 350M of estimated amount of investment potential
Number of national and sectoral technology plans resulting from CTCN assistance	50-75 new plans	7
Number of new country driven technology projects and/or strategies (policies and laws) designed, implemented and scaled-up as a result of CTCN assistance	100 new country-driven technology projects	9
Number of Public-Private Partnerships formed as result of workshops	13 partnerships	3[b]
Number of twinning arrangements as a result of networking events	18 arrangements	4[c]
CTCN activity that directly or indirectly created a South-South / North-South / Triangular collaboration	NA	5

[a] Source: CTCN. 2015. Monitoring & Evaluating Transformational Outcomes and Impacts of CTCN Activities – AB/2015/5/15.

[b] The CTCN reported to have formed one public-private partnership in 2015 with PFAN having work on a technical assistance projects (source: CTCN.2015. 2015 Targets and achievement. AB/2015/6/6a) and one in 2016 with the chapters formulated as a result of the East African stakeholder forum (source: CTCN.2016. 2016 Targets and achievement. AB/2016/8/6b).

[c] The CTCN reported to have achieved two twinning arrangements in 2015 through discussions with Regional Development Banks (source: CTCN.2015. 2015 Targets and achievement. AB/2015/6/6a) and two in 2016, through the collaboration with PFAN and WIPO respectively (source: CTCN.2016. 2016 Targets and achievement. AB/2016/8/6b).

105.   By the end of 2016, the CTCN is still far from its 5th year targets. This can be explained by several factors:

(a)   Only a few months has passed since the completion of the first TAs to evaluate their impacts;[72]

(b)   The elaboration of strategic plans, policies or laws, creation of partnerships, or mobilization of funds result from long-lasting processes. Assessing the direct contribution of small-sized projects to such changes can be difficult and it seems that the initial timeline for observing such outcomes may have been too ambitious.

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[72] Regarding technical assistance, only 17 technical assistance have been implemented as of May 2017; the earliest one dates back only to March 2016.

106.   The difficulty to assess these outcomes led to a lack of regular and quantitative communication on outcomes and impacts with AB members and donors, resulting in an information gap for the optimization of the CTCN's activities and in a lack of reporting to donors which intend to assess the impacts of their donations.

107.   The action of the CTCN is perceived as a first step for larger scale projects which are either at the design phase or at the very beginning of implementation. Some NDEs and beneficiaries mentioned current results that are likely to have long term effects, this includes for example the design of policies such as energy policies and laws,[73] the definition of roadmaps and the acquisition of funding for large-scale projects.[74] The recent collaboration between the CTCN and the GCF whereby the CTCN assists countries in drafting concept notes to receive funding from the GCF could generate measurable outputs in the short and medium term regarding the funding obtained thanks to the CTCN's action.

108.   The CTCN reported to have created four twining arrangements,[75] including two with its network members PFAN[76] and WIPO.[77] This lower than the initial target of ten in 2016. In addition, this does not correspond to the definition given for Twinning Arrangements in the Programme of Work, which encompasses primarily arrangements between stakeholders other than the CTCN itself.[78] It notably results from a lack of regular networking events involving different types of CTCN stakeholders.

109.   Only three Public-Private Partnerships have been created, instead of the six that the CTCN was aiming for in 2016.[79] The CTCN launched events specifically dedicated to fostering private-public collaboration only recently, with the first Stakeholder Forum taking place in April 2016 in Nairobi,[80] and a second forum held early 2017 with a slightly different format in Singapore.[81]

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[73] The CTCN contributed to the redefinition of Columbia's policies for energy efficiency and renewable energy in the industrial and transport sectors, as well as to the preparation of the Ugandan geothermal energy law which is awaiting approval by the national parliament.

[74] One technical assistance project conducted in Georgia led to the definition of a roadmap for introducing renewable energy in the district heating system as well as the identification of funding from the EBRD. Similarly, another technical assistance project conducted in Jordan led to the elaboration of a concept note to the GCF concerning a project of electric buses.

[75] Twinning arrangements are defined as followed in the programme of work 2013-2017: « *twinning arrangements between NDEs, or between NDEs and institutions from developing or developed countries, or between research institutes with specific experience on the topic. The twinning arrangements will provide lasting platforms for information exchange, through secondment of personnel or collaborative projects for example.* »

[76] The PFAN plays a role as interface with the local private sector and provides direct assistance to NDEs in different areas including the preparation of application to the Incubator Programme, the identification and evaluation of projects that could lead to a request, as well as the framing of those requests.

[77] The partnership with WIPO has led to increased linkages between the CTCN's technology library and the WIPO's Green Market Place database which is more focused on specific technologies and on providing connections between providers (companies, universities) and seekers (other companies, NGOs, working on the ground, utility providers, UN organizations) of technology.

[78] Source: CTCN. 2013 (date of further revision unknown). *Draft Programme of Work CTCN: « between NDEs, or between NDEs and institutions from developing or developed countries, or between research institutes with specific experience on the topic. The twinning arrangements will provide lasting platforms for information exchange, through secondment of personnel or collaborative projects for example.*"

[79] Source: CTCN. 2016. *6.b) 2016 Targets and Achievements – document presented at the 8th Advisory Board.*

[80] This event, co-organized with PFAN, aimed at bringing together business representatives, NDEs and the CTCN in order to better engage non-NDE stakeholders and in particular the private sector to leverage its action.

[81] This workshop aimed at enabling NDEs to formulate requests that will be applicable and useful to the local business sector, by bringing together NDEs, project developers and other relevant stakeholders.

110.   The CTCN's activities also led to South-South and triangular collaborations in a few occasions, including the provision of technical assistance by a non-Annex 1 country[82] as well as the collaboration of different countries in order to present common technical assistance requests to the CTCN.[83] However, multi-regional projects may require higher budgets than projects scoping single countries, and may have been limited by the funding rules of the CTCN which currently cap the total budget to USD 250,000 per request and not per country participating to the request.

111.   Figure 16 extracted from the survey addressed to NDEs and beneficiaries indicates their overall perception of the outcomes of the CTCN's action.[84]

Figure 16
Outcomes of the CTCN services used (Source: EY)
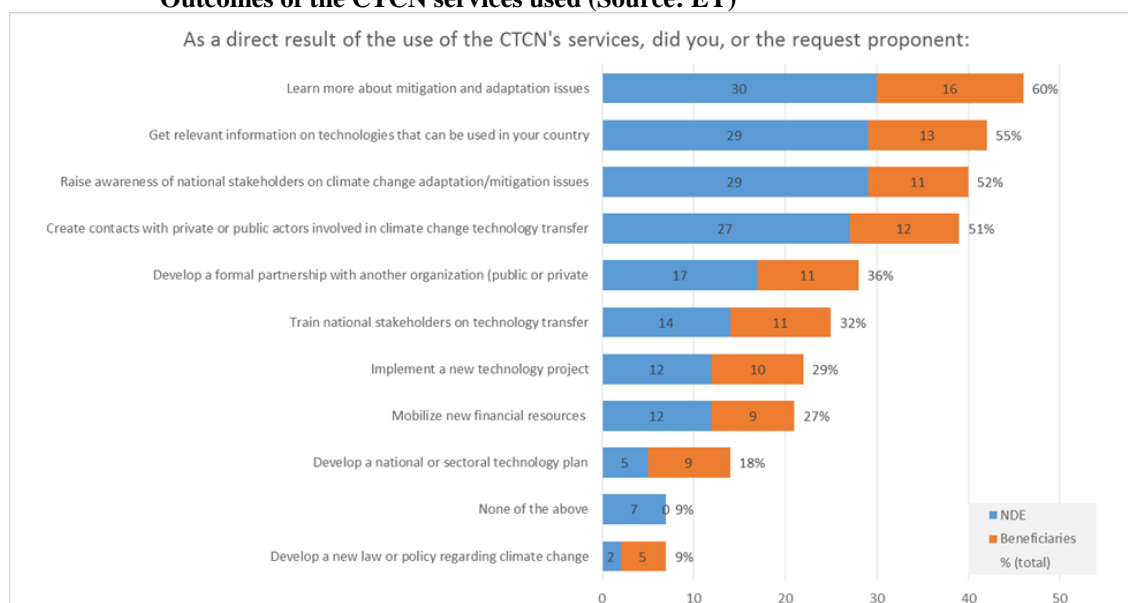
112.   It is worth noting that direct effects such as the development of new skills or the creation of links with other stakeholders, are the main effects observed by NDEs and beneficiaries. Qualitative replies to the survey show that contacts have been created with different type of actors including fund provider like DFID, the EBRD, the AfDB, and the West African Development Bank, local public authorities, academic institutions and NGOs.

113.   On the contrary, the development of new plans, policies, laws, partnerships or funding was rarely observed. Nonetheless, NDE and beneficiary interviewees underlined the critical contribution of the projects implemented with the CTCN to building the necessary enabling environment and to laying down the foundations to developing relevant climate technology related policies and frameworks.

Long-term impacts

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[82]   For example the national Road and transport Authority of Bhutan benefited from a technical assistance project which was implemented both by UNEP DTU Partnership and by the NDE of Thailand. This collaboration between the Bhutanese and Thai institutions continued even after the end of the technical assistance project. It took the form of an additional workshop where staff members of the Bhutan Road and Transport Authority were trained by their Tai counterparts.

[83]   Multiregional projects have been implemented with: one group of Small Island Developing States (comprising Kiribati, Marshall Islands, Palau, and Solomon Islands); one group of countries from Southern Africa (comprising: Botswana, Lesotho, Malawi, Mozambique, Namibia, South Africa, Swaziland, Tanzania, Zambia and Zimbabwe); one group of countries from Eastern Africa (composed of Ghana, Kenya, Mauritius and Namibia); Two groups of countries from Western Africa (one comprising Benin, Burkina Faso, Côte d'Ivoire, Gambia, Ghana, Guinea, Liberia, Mali, Niger, Nigeria, Senegal, Sierra Leone and Togo and one composed of Guinea-Bissau, Mali and Niger).

[84]   73 participants responded to this question (51 NDEs and 22 Beneficiaries).

114.   The contribution of the CTCN to its core impacts,[85] to long-term impacts (reduction of energy and carbon intensity and improvement of the Climate vulnerability index in developing countries), or to the Sustainable Development Goals has not been assessed so far. Assessing the contribution of the CTCN to these macro-level goals[86] other than qualitatively is likely to be very challenging for the CTCN, considering the nature of the CTCN's projects, which are small-scale and most of the time represent the initial steps towards larger-scale projects.

115.   The examples developed in the previous section as well as on the CTCN website provide some qualitative insights on how the CTCN is contributing to these macro-level goals. Impacts on climate change adaptation and mitigation are rather limited to date, due to the relative newness of the CTCN, with only 13 technical assistance projects completed at the time of this review. In the long run, it is however very likely that the actions of the CTCN will contribute to reducing energy and carbon intensity, and to the improvement of the Climate vulnerability index in developing countries.

Unintended outcomes and changes

116.   Based on the preliminary technical assistance impact assessments and feedback from TA beneficiaries, it can be expected that the delivery of CTCN services will contribute to local development, employment generation, and alleviating poverty; due to the development of climate technology markets and to the provision of new services for populations in developing countries. The CTCN produced an impact description of the first 12 technical assistance that were completed,[87] where the expected contribution of technical assistance projects to the Sustainable Development Goals (SDGs) is indicated. Among these 12 projects that were assessed, the following intended impacts were identified: provision of clean and affordable energy (7); no poverty (1); zero hunger (3); and decent work and economic growth (1).

117.   In addition, the CTCN is seeking to foster gender equality, and has conducted thorough work to deliver impact on gender mainstreaming. A note on CTCN engagement on Technology and Gender mainstreaming was presented at the 7th AB meeting in April 2016, providing an overview of the activities that the CTCN has been conducting in the area of gender mainstreaming.[88] These include notably the integration of gender considerations to TA requests, and gender mainstreaming guidelines for the development of response plans, the provision of information resources, webinars and workshops related to gender, and a partnership with the UNFCCC Women and Gender Constituency on highlighting climate solutions that are considered to be gender-just.[89] In 2016, the CTCN

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[85] Capacity/Capability of developing country Parties to identify Environmentally Sound Technology (EST) needs increased through inter alia enhanced development and implementation of national technology plans for low emission and climate-resilient development; Capacity/Capability of developing country Parties to prepare and implement EST projects and/ or strategies to support action on low emission and climate-resilient development increased. Enhanced deployment and diffusion of ESTs and associated developed and developing country knowledge/expertise in developing country Parties; Enhanced endogenous low emission and climate-resilient development capabilities/capacities on ESTs in developing country Parties, including through cooperative research, development and demonstration programmes within and between developed and developing country Parties; Increased public and private sector investment in EST development, deployment, diffusion and transfer for developing country Parties; Improved climate change observation systems and related information management in developing country Parties; Strengthened National Systems of Innovation (NSI) and technology innovation centres in developing country Parties).

[86] As defined in the following document endorsed by the Advisory Board: CTCN.2015. Monitoring & Evaluating Transformational - Outcomes and Impacts of CTCN Activities - AB/2015/5/15.

[87] Source: CTCN.2017. Technical assistance impact descriptions - *A selection of completed technical assistance examples as of 30 March 2017.*

[88] Source: CTCN.2016. *Note on CTCN Technology and Gender Mainstreaming - AB/2016/7/6.7.*

[89] The contributions to gender equity are the following: - The CTCN required proponent to describe how they are taking into account and monitoring gender considerations within their requests; - The CTCN is currently implementing a technical assistance project in response to the request of ECOWAS related to "mainstreaming gender for a climate resilient energy system in ECOWAS"; - The CTCN promoted the webinar hosted by EmpowerWomen.org on "RE-Thinking the Role of Climate Technology for Women's Empowerment" (partnership with UNIDO, UN Women, and

appointed a Gender Mainstreaming Focal Point to coordinate CTCN's gender mainstreaming activities in alignment with the UNFCCC, UN Environment and UNIDO gender guidance. The CTCN also started to work on a Gender Mainstreaming Strategy, to propose an integrated framework for action on gender mainstreaming.

118.   Technical assistance projects could also have other co-benefits, notably over biodiversity, and air quality. Among the 12 projects that were assessed against SDGs, the following intended co-benefits were identified: clean water and sanitation (2), life below water (1) and on land (3).

Replicability and sustainability

119.   Most interviewees have underlined the relevance of the CTCN and its mandate to support developing countries in the development of enabling environments for climate technology development and transfer. The timeframe under which the CTCN operates and the relatively small scale of projects it covers makes it a rather unique actor on the international stage. All interviewees were also confident over the fact that the CTCN will deliver positive and sustainable impacts. With the continuation of technical assistance delivery, knowledge sharing and enhancement of partnerships, the CTCN should become increasingly meaningful to support developing countries in addressing climate change.

120.   There is no indication of other programmes or tools that would, today fulfill the mandate of the CTCN more effectively. In addition, the CTCN is ideally placed to leverage the work it delivers through further collaboration with the TEC, GEF and GCF. It is however necessary that this collaboration, in particular with the TEC and the GEF be further advanced. The progress done with the GCF so far should serve as an example and be further institutionalized with the GEF.

121.   All interviewees were confident over the fact that the CTCN will deliver positive and sustainable impacts. With the continuation of technical assistance delivery, knowledge sharing and enhancement of partnerships, the CTCN has the potential to become increasingly meaningful to support developing countries.

ENERGIA); - The CTCN published 249 information resources related to gender on the KMS; - The CTCN trained NDEs on mainstreaming gender into climate planning during NDE training workshops; - The CTCN has appointed a Gender Mainstreaming Focal Point; - The CTCN has developed a partnership with UNEP and UN Women, and has contributed to the Global Programme for Women's Entrepreneurship for Sustainable Energy (WESE); - The CTCN has participated to gender related meetings organized by the UNFCCC (during the forty-second sessions of the subsidiary bodies or the Expert Group Meeting organized by UN Women, UN DESA, and UNFCCC secretariat).