Организация Объединенных Наций FCCC/CP/2017/3

Рамочная конвенция об изменении климата

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Пункт 8 b) предварительной повестки дня
Разработка и передача технологий и создание Механизма по технологиям
Обзор эффективного осуществления Центра и Сети по технологиям, связанным с изменением климата

Доклад о независимом обзоре эффективного осуществления Центра и Сети по технологиям, связанным с изменением климата

Резюме

В настоящем докладе содержатся выводы независимого обзора эффективного осуществления Центра и Сети по технологиям, связанным с изменением климата (ЦСТИК). В нем дается подробный обзор истории ЦСТИК за четыре года с момента его создания, в том числе информация об обеспечении его функционирования и предоставлении им своих основных услуг. Кроме того, в докладе содержатся основные выводы по каждой области, по которой была проведена оценка (актуальность, эффективность, результативность, воздействие и устойчивость), выводы по итогам обзора и рекомендации в отношении совершенствования функционирования ЦСТИК.

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Содержание

I. Введение

A. Мандат

1. Конференция Сторон (КС) на своей шестнадцатой сессии учредила Механизм по технологиям[1] в целях активизации действий по разработке и передаче климатических технологий. Этот механизм состоит из двух органов: Исполнительного комитета по технологиям (ИКТ), который является его директивным органом, и Центра и Сети по технологиям, связанным с изменением климата (ЦСТИК), который является подразделением, отвечающим за вопросы осуществления.

2. КС 17 приняла решение по мерам, направленным на обеспечение полного ввода в действие Механизма по технологиям в 2012 году, и утвердила круг ведения ЦСТИК[2] и процесс отбора организации, принимающей Центр по технологиям, связанным с изменением климата (ЦТИК)[3]. Она также просила секретариат, при условии наличия ресурсов, организовать проведение независимого обзора эффективного осуществления ЦСТИК через четыре года после его создания. Выводы этого обзора, включая любые рекомендации в отношении совершенствования функционирования ЦСТИК, должны быть рассмотрены на КС. Впоследствии периодические независимые обзоры эффективности ЦСТИК будут проводиться каждые четыре года[4].

3. По итогам конкурса, проведенного в соответствии с правилами Организации Объединенных Наций, секретариат выбрал Ernst and Young et Associés (далее – консультанта) для проведения независимого обзора эффективного осуществления ЦСТИК.

B. Возможное решение Конференции Сторон

4. КС будет предложено рассмотреть выводы и рекомендации, сформулированные по итогам независимого обзора эффективного осуществления ЦСТИК, а также определить любые меры, которые следует принять для совершенствования функционирования ЦСТИК.

II. Резюме

A. Справочная информация по обзору

5. КС 17 просила секретариат, при условии наличия ресурсов, организовать проведение независимого обзора эффективного осуществления ЦСТИК через четыре года после его создания. Выводы этого обзора, включая любые рекомендации в отношении совершенствования функционирования ЦСТИК, должны быть рассмотрены КС.

6. По итогам конкурса, проведенного в соответствии с правилами Организации Объединенных Наций, секретариат выбрал Ernst and Young et Associés для проведения независимого обзора эффективного осуществления ЦСТИК.

7. ЦСТИК оказывает три основные услуги: 1) предоставление технической помощи по просьбе развивающихся стран; 2) обеспечение доступа к информации и знаниям о технологиях, связанных с изменением климата; и 3) организа-

[1] Решение 1/CP.16, пункт 117.
[2] Решение 2/CP.17, пункт 133.
[3] Решение 2/CP.17, пункт 136.
[4] Решение 2/CP.17, приложение VII, пункт 20.

ция информационно-пропагандистской работы и деятельности по налаживанию контактов между заинтересованными сторонами по вопросам климатических технологий.

8. Ключевым компонентом ЦСТИК является его Сеть. Через эту сеть ЦСТИК взаимодействует с заинтересованными сторонами для обеспечения своих трех основных услуг.

9. Деятельность ЦСТИК опирается на назначенные национальные органы (ННО), которые выступают в качестве координаторов для национальных заинтересованных сторон и ЦСТИК. ННО оказывают поддержку деятельности ЦСТИК в стране, обеспечивая удовлетворение национальных запросов технической помощи (для развивающихся стран), оказывая содействие участию в Сети и координируя взаимное обучение, взаимодействие, процесс отчетности и обратную связь на региональном и глобальном уровне.

B. Достижения Центра и Сети по технологиям, связанным с изменением климата

10. По состоянию на апрель 2017 года ЦСТИК получил 181 просьбу об оказании технической помощи, из которых 13 были выполнены, 49 находятся в стадии осуществления, 40 − на этапе разработки, 29 рассматриваются, а по 50 действия не предпринимались.

11. С помощью своих средств коммуникации и своей системы управления знаниями (СУЗ) ЦСТИК предоставляет информацию о своей деятельности и климатических технологиях. По состоянию на декабрь 2016 года на веб-сайте было размещено 10 768 информационных материалов из различных источников, в том числе представленных участниками Сети. ЦСТИК организовал проведение 75 веб-семинаров для более чем 2 200 участников.

12. В период с 2013 по 2016 год ЦСТИК провел 21 региональный форум и рабочее совещание по обучению сотрудников ННО в целях обеспечения непрерывного поступления высококачественных запросов от развивающихся стран. В них приняли участие 650 человек, включая представителей ННО из более чем 134 стран. Кроме того, ЦСТИК организовал три форума для заинтересованных сторон с целью обеспечить взаимодействие с частным сектором.

13. ЦСТИК оказал особую поддержку ННО из наименее развитых стран (НРС) через свою программу «инкубаторов», обеспечив специальную и интенсивную подготовку. По состоянию на март 2017 года в программе приняли участие 19 стран, в результате чего было представлено 14 просьб об оказании технической помощи.

C. Выводы обзора

1. Актуальность

14. Программа Организации Объединенных Наций по окружающей среде (ЮНЕП) в партнерстве с Организацией Объединенных Наций по промышленному развитию (ЮНИДО) разработала организационную структуру и оказывает административную и инфраструктурную поддержку для основной группы ЦСТИК. ЮНЕП и ЮНИДО при поддержке основной группы принимали активные меры по выполнению мандата в отношении ЦСТИК, утвержденного КС. ЦСТИК реагирует на потребности развивающихся стран и вносит свой вклад в деятельность глобальной системы организаций, оказывающих поддержку климатическим технологиям. Получатели услуг ЦСТИК сообщают о высоком уровне удовлетворенности; они высоко оценивают большую подготовительную работу ЦСТИК и его адресную и конкретную помощь.

15. ЦСТИК содействовал укреплению взаимодействия с финансовыми учреждениями, такими как Глобальный экологический фонд (ГЭФ) и Зеленый климатический фонд (ЗКФ), и техническими партнерами в целях недопущения дублирования и повышения отдачи от своей деятельности.

2. Эффективность

16. ЦСТИК проводил мероприятия в области управления знаниями, взаимного обучения и укрепления потенциала, при этом иногда превышая предполагаемые результаты. Вместе с тем ему не удалось достичь своих целевых показателей по проектам технической помощи и сетевым мероприятиям, как показано ниже:

a) хотя ЦСТИК ответил на меньшее число просьб и реализовал меньше проектов технической помощи, они надлежащим образом отвечали запросам ННО и бенефициаров;

b) эффективную поддержку осуществлению операций и деятельности ЦСТИК оказывала СУЗ;

c) число мероприятий по укреплению потенциала соответствовало запланированному и эти мероприятия способствовали расширению возможностей ННО в выявлении и представлении соответствующих запросов. ННО особо отметили и высоко оценили оказанную им активную поддержку со стороны ЦСТИК;

d) ЦСТИК частично достиг своих целей в области информационно-пропагандистской деятельности, создания сетей и вовлечения заинтересованных сторон. Он уделял приоритетное внимание предоставлению услуг по оказанию технической помощи и расширению возможностей ННО, что привело к более ограниченному участию других заинтересованных сторон и членов Сети.

17. На способность ЦСТИК оказывать услуги на ожидаемом уровне в значительной степени повлияло отсутствие предсказуемости и безопасности финансовых ресурсов, равно как и недостаточность людских и организационных ресурсов ЦСТИК и потенциала ННО.

3. Результативность

18. Важным фактором, способствующим эффективному осуществлению деятельности ЦСТИК, является партнерство между ЮНЕП и ЮНИДО и децентрализованная организация консорциума партнеров. Консорциум обеспечивает хорошее сочетание основных и региональных экспертных знаний и имеет глобальный охват. Обеспечению эффективности работы ЦСТИК также способствовало руководство со стороны Консультативного совета ЦСТИК.

19. ЦСТИК добился значительных результатов в определении приоритетов своей деятельности и применял прагматичный подход к распределению ресурсов. Он чутко реагировал на изменение внешних условий в плане финансов, потребностей развивающихся стран и политического руководства.

20. Были определены области, требующие улучшения, с целью сократить отмеченные задержки в реализации проектов технической помощи. Эти задержки обусловлены главным образом: 1) отсутствием ресурсов и недостатками в плане управления на местах, в результате чего ННО в развивающихся странах не всегда могут наиболее эффективно выполнять свою роль; 2) большим числом заинтересованных сторон, участвующих в этой деятельности и в процессе принятия решений; и 3) ограниченными людскими ресурсами основной группы ЦСТИК и партнеров по консорциуму.

4. Воздействие и устойчивость

21. Уже сообщалось – хотя лишь в качественном аспекте – о ряде конкретных примеров воздействия деятельности ЦСТИК (например, о разработке политики

и законов в области энергетики, определении «дорожных карт» разработки и передачи климатических технологий). ЦСТИК продемонстрировал свою способность реализовывать проекты, которые могут получать более масштабное финансирование по линии Финансового механизма или многосторонних банков развития (МБР).

22. В связи с новизной ЦСТИК и характером его деятельности, являющейся первым шагом к более широким и долгосрочным преобразованиям, до сих пор сложно было оценить воздействие ЦСТИК на процесс предотвращения изменения климата и адаптации, поскольку это воздействие приобретет материальные формы через несколько лет после предоставления технической помощи. Кроме того, имеющийся у ЦСТИК механизм мониторинга и оценки в настоящее время не приспособлен для учета последствий его услуг на макроуровне.

23. Заинтересованные стороны отмечают, что ЦСТИК может способствовать достижению незапланированных положительных результатов, таких как развитие на местном уровне, охрана окружающей среды и учет гендерных аспектов.

D. Рекомендации

24. Консультант сформулировал ряд рекомендаций, направленных на повышение эффективности деятельности ЦСТИК (см. раздел V.C ниже). Эти рекомендации охватывают аспекты, связанные с управлением, организацией и финансированием ЦСТИК, его тремя основными услугами и мониторингом, оценкой и отчетностью.

III. Методология обзора

25. Консультант (см. пункт 3 выше) организовал работу по четырем направлениям оценки:

a) **Актуальность.** Соответствуют и отвечают ли стратегия и ресурсы ЦСТИК приоритетам, определенным КС, и потребностям стран в помощи? Этот вопрос предполагает изучение соответствия рамок деятельности ЦСТИК, разработанных и применяемых ЮНЕП и ЮНИДО, и их обоснованность с учетом внешних условий;

b) **Эффективность.** Были ли достигнуты цели ЦСТИК в плане предоставления его трех основных видов услуг? Этот вопрос связан с оценкой предоставленных услуг и проведенных мероприятий ЦСТИК в сопоставлении с его целями и задачами, а также с учетом фактических условий работы;

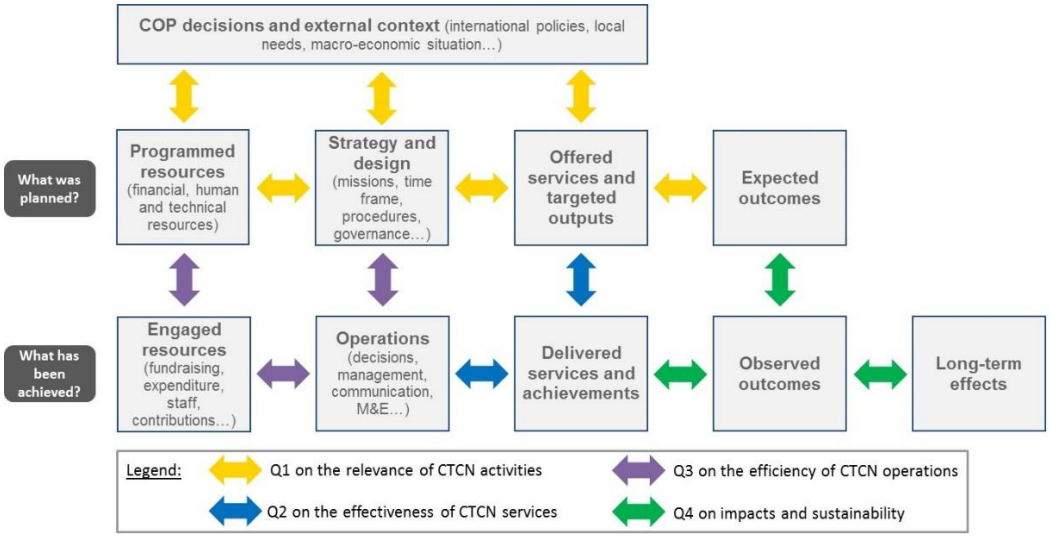
c) **Результативность.** Были ли цели ЦСТИК достигнуты при оптимальном использовании ресурсов и своевременно в плане создания ЦСТИК и начала предоставления его услуг? Этот вопрос связан с оценкой оперативной деятельности ЦСТИК в сопоставлении с запланированными показателями и выявлением встретившихся трудностей и факторов успеха;

d) **Воздействие и устойчивость.** Достиг ли ЦСТИК ожидаемых результатов и оказывают ли они долгосрочное, позитивное и воспроизводимое воздействие? Этот вопрос связан с выявлением наблюдаемых результатов и их сравнением с ожидаемыми результатами, а также с оценкой вероятности их позитивного и долгосрочного воздействия и возможности его воспроизведения.

26. По каждому из этих вопросов консультант разработал таблицу оценки, включающую более детальные подвопросы, а также показатели и источники данных для использования при ответах на эти вопросы (см. приложение IV).

27. На диаграмме 1 показан охват каждого вопроса оценки, а также связи между вопросами.

Диаграмма 1
Рамки оценки для обзора



Источник: Ernst and Young et Associés.

Сокращения: COP = Конференция Сторон (КС), CTCN = Центр и Сеть по технологиям, связанным с изменением климата (ЦСТИК), M&E = контроль и оценка.

28. Для выполнения задачи по проведению независимого обзора консультант разработал следующую методологию:

a) начальный этап;

b) этап сбора и анализа данных, включая следующую деятельность:

i) детальное рассмотрение соответствующих материалов, в том числе о стратегии, управлении, операциях, услугах и результатах деятельности ЦСТИК (см. приложение V);

ii) проведение бесед с 36 заинтересованными сторонами ЦСТИК, включая представителей секретариата, директора ЦСТИК, сотрудников ЦСТИК из ЮНЕП и ЮНИДО, доноров, членов и бывших членов Консультативного комитета ЦСТИК, партнеров по консорциуму и стратегических партнеров, участников Сети, ННО и получателей технической помощи (см. приложение VI);

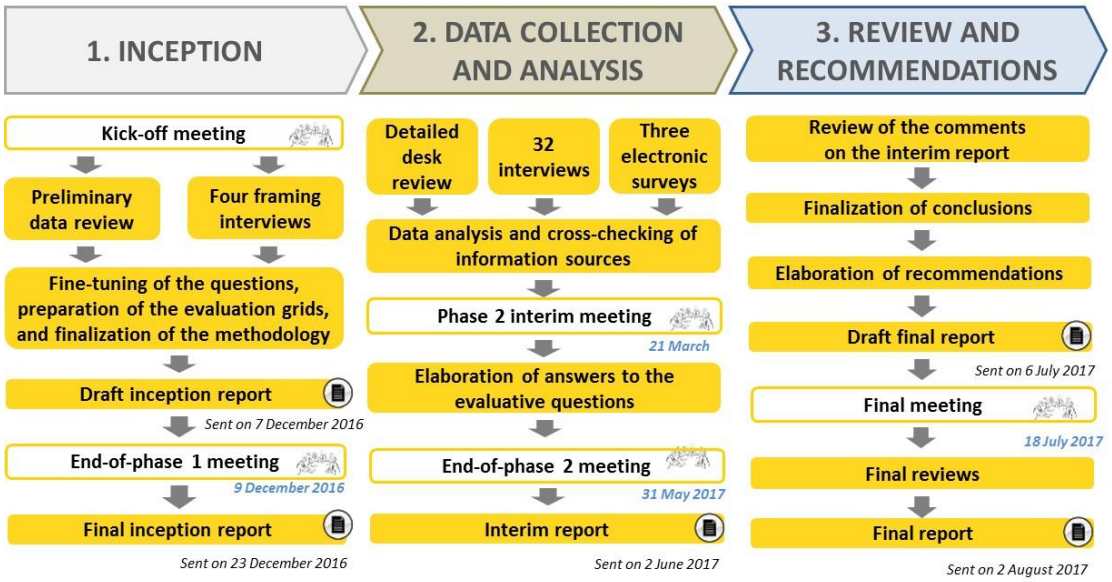
iii) проведение трех электронных обследований с участием 71 ННО, 121 представителя Сети и участника мероприятий ЦСТИК, а также 39 получателей технической помощи (см. приложение VII);

iv) участие в работе 9-го совещания Консультативного совета, которое было проведено 3–5 апреля 2017 года с целью наблюдения;

c) этап рассмотрения и вынесения рекомендаций.

29. На диаграмме 2 дается подробное описание методологии проведения обзора. Эта работа была проделана в период с октября 2016 года по август 2017 года.

Диаграмма 2
Методология проведения обзора



Источник: Ernst and Young et Associés.

IV. Центр и Сеть по технологиям, связанным с изменением климата

A. История вопроса и мандат

30. На КС 16 был учрежден Механизм по технологиям, включающий в себя ИКТ и ЦСТИК (см. пункт 1 выше). Действуя на основе своего мандата в отношении ЦСТИК[5], КС в своих последующих решениях обеспечила функционирование ЦСТИК, определив его структуру и услуги, которые он будет оказывать:

a) КС 17 приняла круг ведения ЦСТИК, в котором содержатся руководящие принципы в отношении его миссии, управления и организационной структуры[6];

b) КС 18 выбрала ЮНЕП, лидера консорциума учреждений-партнеров, в качестве организации, принимающей ЦТИК на первоначальный период в пять лет с возможностью продления этого срока в случае принятия соответствующего решения КС 23 (ноябрь 2017 года)[7]. Меморандум о договоренности, принятый КС 18[8] и подписанный ЮНЕП, официально закрепил функции и обязанности КС, ЮНЕП, ЦСТИК и партнеров по консорциуму, а также финансовый механизм приема ЦТИК;

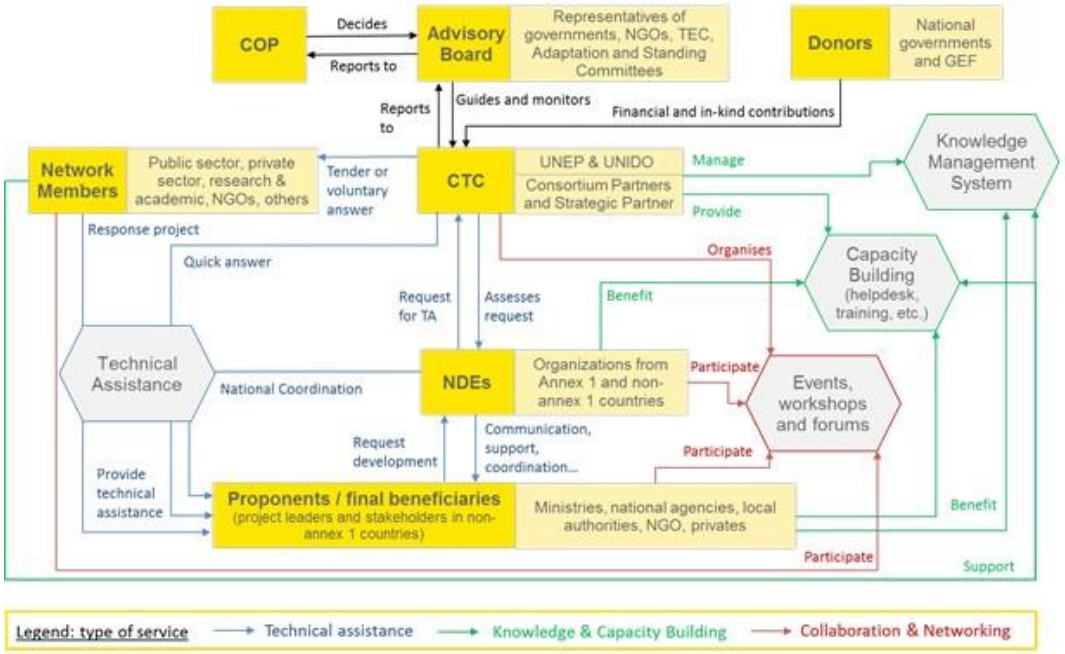
c) КС 19 приняла условия и процедуры работы ЦСТИК[9], что дало возможность ЦСТИК фактически начать свою деятельность и проведение операций. В приложении I к этому решению определяются функции и обязанности ЦСТИК, его связи с ИКТ, механизмы обмена информацией и знаниями и три основные вида услуг, которые он должен предоставлять.

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

B. Структура

31. На диаграмме 3 показана общая организационная структура ЦСТИК. Ниже приводятся основные заинтересованные стороны и учреждения, занимающиеся управлением ЦСТИК и его операциями.

Диаграмма 3
Организационная структура Центра и Сети по технологиям, связанным с изменением климата



Источник: Ernst and Young et Associés, на основе данных Центра и Сети по технологиям, связанным с изменением климата.

Сокращения: COP = Конференция Сторон (КС), CTC = Центр по технологиям, связанным с изменением климата (ЦТИК), GEF = Глобальный экологический фонд (ГЭФ), NDEs = назначенные национальные органы (ННО), NGOs = неправительственные организации (НПО), TA = техническая помощь, TEC = Исполнительный комитет по технологиям (ИКТ), UNEP = Программа Организации Объединенных Наций по окружающей среде (ЮНЕП), UNIDO = Организация Объединенных Наций по промышленному развитию (ЮНИДО).

1. Консультативный совет

32. Консультативный совет ЦСТИК, учрежденный КС 18[10], обеспечивает руководство, утверждает процедуры, доклады и программы работы, одобряет бюджет и финансовые ведомости и отслеживает и оценивает своевременность и адекватность реагирования ЦСТИК на запросы[11]. На КС 18 было принято решение о составе Консультативного совета[12].

2. Центр по технологиям, связанным с изменением климата

33. Управление ЦТИК осуществляет ЮНЕП в сотрудничестве с ЮНИДО и при поддержке 11 организаций-партнеров (см. диаграмму 4). ЦТИК отвечает за координацию и оказание услуг ЦСТИК.

34. Положения о сотрудничестве между ЮНЕП и ЮНИДО и членами консорциума определены в отдельных меморандумах о взаимопонимании. Управление ЦСТИК осуществляется не как независимым учреждением, а как проек-

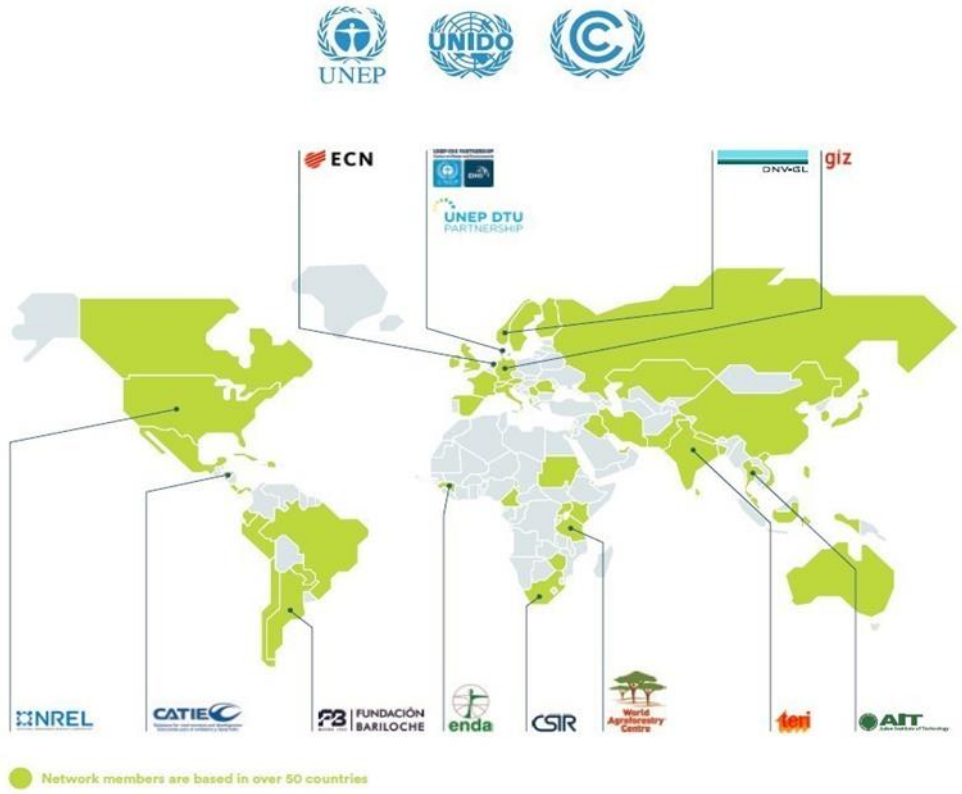
[10] Решение 14/CP.18, пункт 5.
[11] Решение 2/CP.17, приложение VII, пункт 9.
[12] Решение 14/CP.18, приложение II.

том ЮНЕП и ЮНИДО, и его деятельность зависит от различных процессов в рамках этих двух организаций.

35. На КС 18 ЮНЕП было предложено[13] назначить директора ЦТИК и его персонал. Пять профессиональных руководителей и два административных сотрудника базируются в отделении Организации Объединенных Наций в Копенгагене. Им оказывают поддержку консультанты (региональные и технические эксперты), а также сотрудники из ЮНЕП и ЮНИДО (в том числе по одному координатору от каждой организации).

Диаграмма 4

Географический охват партнеров по консорциуму Центра по технологиям, связанным с изменением климата



Источник: CTCN 2016 progress report. Имеется по адресу https://www.ctc-n.org/sites/www.ctc-n.org/files/ctcn-ar16-bookcover-lowres.pdf.

3. Сеть

36. Одним из ключевых компонентов ЦСТИК является его Сеть. Сеть призвана вовлекать широкий круг заинтересованных сторон, которые могут поддерживать деятельность ЦСТИК[14] посредством: 1) предоставления, по просьбе стран, технической помощи в соответствии с их знаниями и опытом; 2) обмена информацией и предоставления экспертов для веб-семинаров, курсов электронного обучения и других видов обучения в рамках СУЗ; и 3) активного участия в мероприятиях и деятельности ЦСТИК.

37. Членство в Сети является бесплатным. С момента начала функционирования Сеть растет в геометрической прогрессии. По состоянию на март 2017 года в Сеть входили 265 организаций из 64 стран, обладающих следующими характеристиками[15]:

[13] Решение 14/CP.18, пункт 9.
[14] См. документ AB/2015/5/9 Консультативного совета ЦСТИК.
[15] https://www.ctc-n.org/network/network-visualizations.

a) 46% зарегистрированы в странах, являющихся Сторонами, включенными в приложение I к Конвенции; 50% зарегистрированы в странах, являющихся Сторонами, не включенными в приложение I к Конвенции; остальные 4% являются международными организациями;

b) члены сети имеют опыт работы в секторах, определенных ЦСТИК, при этом большее число членов работают в области предотвращения (229), чем в области адаптации (161);

c) наиболее многочисленными являются организации частного сектора (35%), за ними следуют научно-исследовательские и академические организации (24%), неправительственные организации (14%), некоммерческие организации (10%) и организации государственного сектора (10%). В Сеть входят 15 международных и региональных организаций и партнерств.

4. Назначенные национальные органы

38. ННО[16] являются посредниками между соответствующими национальными заинтересованными сторонами и ЦСТИК. ЦСТИК действует в соответствии с местными и национальными задачами и страновыми потребностями, и учреждение ННО Стороной Конвенции является необходимым шагом для участия в процессе ЦСТИК. По состоянию на апрель 2017 года насчитывалось 157 ННО развитых и развивающихся стран. ННО выполняют роль координаторов деятельности ЦСТИК в их стране и координируют запросы от соответствующих министерств, других механизмов РКИКООН, частного сектора, государства и научных кругов. ННО оказывают поддержку деятельности ЦСТИК в стране, обеспечивая удовлетворение национальных запросов (для развивающихся стран), оказывая содействие участию в Сети и координируя взаимное обучение, взаимодействие, процесс отчетности и обратную связь на региональном и глобальном уровне.

C. Услуги

39. ЮНЕП и ЮНИДО ведут работу по воплощению мандатов КС в конкретные мероприятия. В 2013 году Консультативным советом была утверждена первоначальная пятилетняя программа работы ЦСТИК на период 2013–2017 годов[17]. В ней содержится подробная информация о деятельности, услугах, мероприятиях, сроках и бюджете ЦСТИК.

40. В этой программе работы концепция деятельности ЦСТИК была определена как «предоставление развивающимся странам, являющимся Сторонами РКИКООН, возможностей, средств и ноу-хау для разработки и совершенствования технологий в целях предотвращения изменения климата и адаптации».

41. Кроме того, были определены три основных вида услуг ЦСТИК: 1) предоставление технической помощи по просьбе развивающихся стран; 2) обеспечение доступа к информации и знаниям о технологиях, связанных с изменением климата; и 3) организация информационно-пропагандистской работы и деятельности по налаживанию контактов между заинтересованными сторонами по вопросам климатических технологий. С прошествием времени эти основные услуги изменились незначительно.

42. Программа работы была построена с учетом ожидаемого финансирования в размере 100 млн долл. США в течение первых пяти лет деятельности (см. таблицу 1).

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

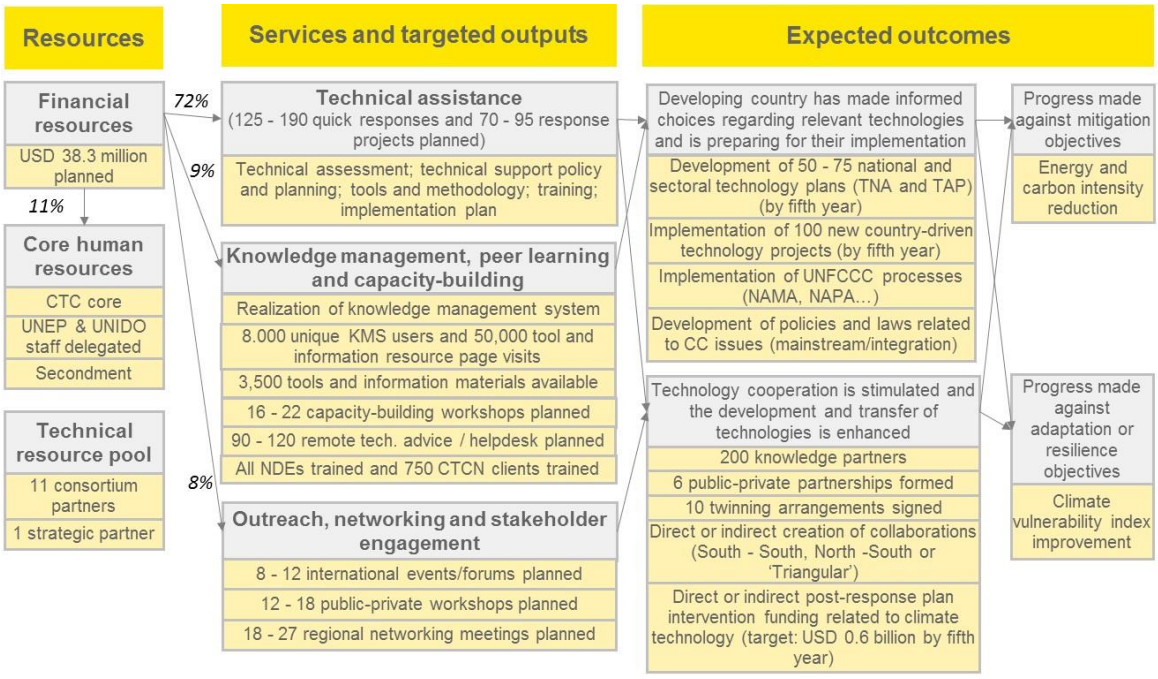
[17] CTCN. 2013. *Draft Programme of Work: Climate Technology Centre and Network.* Имеется по адресу https://www.ctc-n.org/sites/www.ctc-n.org/files/f2137b4434244bdeafe3a24bad2c5273.pdf.

Таблица 1
Ориентировочное финансирование

Компонент/дополнительный компонент/мероприятие	*Сметная стоимость (в долл. США)*
Техническая помощь по просьбе стран	75 500 000
Информационно-пропагандистская деятельность, создание сетей и привлечение частного сектора	7 000 000
Управление знаниями, взаимное обучение и укрепление потенциала	7 250 000
Расходы на создание и оперативную деятельность	10 250 000
Итого	**100 000 000**

43. Программа работы на 2013–2017 годы использовалась ЦСТИК для подготовки годовых оперативных планов, которые были одобрены Консультативным советом. Эти годовые планы содержат количественные целевые показатели мероприятий и результатов деятельности ЦСТИК. На диаграмме 5 показана логическая основа первых трех лет функционирования с предварительным бюджетом в размере 38,3 млн долл. США, из которых 11% − на финансирование операций ЦСТИК и 89% − на оказание основных услуг. По каждому виду деятельности ЦСТИК определил целевые показатели в отношении мероприятий. Также были установлены и количественно определены непосредственные результаты этих мероприятий. Конечное предполагаемое воздействие мероприятий ЦСТИК показано в правой части диаграммы 5.

Диаграмма 5
Логическая концепция деятельности с совокупными целевыми показателями на первые три года ее осуществления



Источник: Ernst and Young et Associés, на основе данных ЦСТИК.

Примечание: за исключением случаев, когда указано иное, указанные значения представляют собой суммарные ресурсы и мероприятия в течение третьего года осуществления на основе первых трех годовых оперативных планов. Эта логическая концепция деятельности была пересмотрена консультантом и отличается от логических рамок, содержащихся в программе работы.

Сокращения: CC = изменение климата, CTC = Центр по технологиям, связанным с изменением климата (ЦТИК), CTCN = Центр и Сеть по технологиям, связанным с изменением климата (ЦСТИК), KMS = система управления знаниями (СУЗ), NAMA = соответствующие национальным условиям действия по предотвращению изменения

климата, NAPA = национальная программа действий в области адаптации (НПДА), NDEs = назначенные национальные органы (ННО), TAP = план действий в области технологий, TNA = оценка технологических потребностей, UNEP = Программа Организации Объединенных Наций по окружающей среде (ЮНЕП), UNFCCC = Рамочная конвенция Организации Объединенных Наций об изменении климата (РКИКООН), UNIDO = Организация Объединенных Наций по промышленному развитию (ЮНИДО).

44. Более подробная информация о ходе работы ЦСТИК по предоставлению своих трех основных видов услуг содержится в приложении VIII.

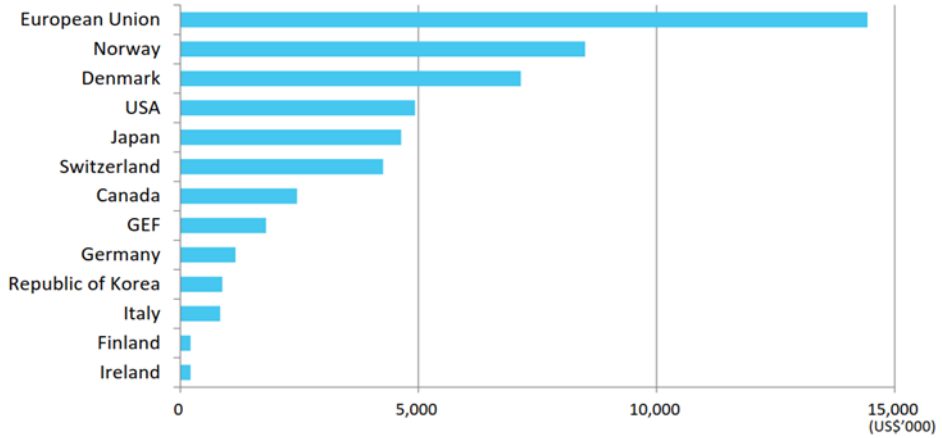
D. Финансирование и расходование средств

45. ЦСТИК запросил финансовые средства в соответствии с решением 2/CP.17. К сентябрю 2014 года ЦСТИК получил 26,6 млн долл. США[18]. В течение следующих двух лет были выделены 4,3 млн долл. США[19]. В июне 2015 года по линии ГЭФ было получено 1,8 млн долл. США. Кроме того, ЮНЕП, ЮНИДО и партнеры по консорциуму предоставили финансовые взносы и взносы натурой на сумму более 5,8 млн долл. США[20].

46. По состоянию на март 2017 года большая часть полученных ЦСТИК финансовых средств (49,6 млн долл. США) была предоставлена двусторонними донорами. В ходе КС 22 Сторонами были взяты обязательства на сумму 23 млн долл. США, из которых 20,5 млн долл. США были предусмотрены в рамках соглашений, заключенных с донорами к марту 2017 года.

47. По состоянию на апрель 2017 года ЦСТИК вел переговоры с правительствами Канады и Соединенных Штатов Америки в отношении оставшейся суммы в 2,5 млн долл. США. На диаграмме 6 представлен общий обзор взносов доноров ЦСТИК.

Диаграмма 6
Взносы доноров



Источник: документ AB/2017/9/8.1 Консультативного совета ЦСТИК.
Примечание: по состоянию на март 2017 года. Включая соглашения с донорами.

48. 44% средств ЦСТИК были выделены донорами на конкретные виды деятельности или конкретные регионы[21]. Общий объем средств, израсходованных ЦСТИК за первые три года функционирования (с 2014 по 2016 годы, в том числе последние месяцы 2013 года), составляет 25,6 млн долл. США.

[18] См. документ FCCC/SB/2014/3.
[19] См. документ FCCC/SB/2016/1.
[20] См. документ FCCC/SB/2013/1. С 2014 года были предоставлены дополнительные взносы натурой, которые не отслеживались.
[21] Документ AB/2017/9/8.1 Консультативного совета ЦСТИК.

E. Контроль и оценка

49. В различных решениях КС содержатся требования к Консультативному совету и самому ЦСТИК осуществлять контроль и оценку деятельности ЦСТИК[22]. Финансовый контроль ЦСТИК охватывается механизмами финансовой отчетности ЮНЕП и ЮНИДО. Положения о контроле за деятельностью, не связанной с технической помощью, и расчете показателей в отношении основанных на знаниях услуг ЦСТИК были подробно изложены в рамках процедур, первоначально представленных на седьмом совещании Консультативного совета, и после этого обновлялись[23]. Положения о контроле за деятельностью по оказанию технической помощи и расчете показателей, касающихся услуг ЦСТИК по оказанию технической помощи, были подробно изложены в рамках процедур, первоначально представленных на пятом и утвержденных на шестом совещании Консультативного совета[24]. Проведение обзора качества и эффективности всего пакета услуг и систематический обзор и оценка запланированы на 2017 год. Содействие ЮНЕП и ЮНИДО в разработке этой системы контроля и оценки оказывала компания ДНВ ГЛ[25] в качестве стратегического партнера.

V. Основные выводы, заключения и рекомендации обзора

A. Основные выводы

50. Представленные ниже основные выводы были сделаны с учетом сведений от различных категорий заинтересованных сторон, которые были сопоставлены с информацией, собранной в ходе аналитических обзоров (более подробную информацию о процессе обзора см. в главе III выше и в приложениях V, VI, VII и VIII). Эти выводы основаны на подробном обзоре деятельности ЦСТИК, представленном в приложении IX. Они представляют собой мнение консультанта, к которому он пришел с учетом ответов на вопросы оценки, определенные в ходе начального этапа обзора (см. пункт 26 выше и приложение IV).

1. Актуальность

51. Все участники обзора признали вклад, который вносит ЦСТИК в оказание поддержки развивающимся странам в получении доступа к международным финансовым ресурсам и создание надлежащих благоприятных условий. И это при том, что существует большое число доноров и организаций, оказывающих помощь в области разработки и передачи технологий, связанных с изменением климата.

52. В целом деятельность ЦСТИК отвечает потребностям развивающихся стран, которые высоко оценивают проводимую им активную базовую работу и его конкретную и адресную помощь. По просьбе Консультативного совета ЦСТИК принял дополнительные меры по обеспечению официальной увязки запроса технической помощи с национальными планами и определяемыми на национальном уровне вкладами (ОНУВ), с тем чтобы страны обосновывали

[22] См. решение 2/CP.17, приложение VII, и решение 25/CP.19, приложение I.

[23] Документ AB/2016/8/7.6 Консультативного совета ЦСТИК. Имеется по адресу https://www.ctc-n.org/sites/www.ctc-n.org/files/ab20168_7.6_mande_process_and_procedures_v2_from_ab7.pdf.

[24] Документ AB/2015/6/7b Консультативного совета ЦСТИК.

[25] Компания ДНВ ГЛ была одним из кандидатов, попавшим в короткий список для РКИКООН на предмет принятия ЦСТИК. После выбора ЮНЕП в качестве принимающей организации КС рекомендовала консорциуму работать с другими участниками торгов. В результате консорциум установил стратегическое партнерство с ДНВ ГЛ.

свои просьбы с учетом приоритетов, определенных в национальных документах[26].

53. Программа работы ЦСТИК на 2013–2017 годы согласуется с мандатом, определенным КС. Ежегодные оперативные планы также были приведены в соответствие с мандатом и последующими решениями КС, затрагивающими операции ЦСТИК. ЦСТИК принял следующие меры в ответ на решения КС:

a) после вступления в силу Парижского соглашения ЦСТИК включил в свой годовой план работы на 2017 год такие темы, как ОНУВ, научные исследования, разработки и демонстрационные проекты и укрепление внутренних возможностей;

b) ЦСТИК продолжал и стремился укреплять свое сотрудничество с ИКТ[27] посредством проведения совещаний Консультативного комитета, представления совместных ежегодных докладов и использования других средств, однако опрошенные в ходе обзора сотрудники указали, что взаимодействие могло бы быть более активным;

c) в целях укрепления сотрудничества и взаимодействия с оперативными подразделениями Финансового механизма[28] ЦСТИК с 2016 года развивает партнерство с ЗКФ, в рамках которого техническая помощь ЦСТИК и его деятельность по укреплению потенциала способствуют разработке концептуальных записок для представления ЗКФ и укреплению сотрудничества с координаторами ЗКФ (ННО). Такое сотрудничество позволяет получить дополнительные финансовые ресурсы благодаря тому, что отобранные ЦСТИК проекты технической помощи финансируются за счет средств ЗКФ, выделяемых на обеспечение готовности стран[29];

d) предоставленные по линии ГЭФ финансовые ресурсы для операций ЦСТИК были предназначены для конкретных проектов, а не выделялись в рамках постоянного финансирования и поэтому были весьма ограниченными (1,8 млн долл. США). ГЭФ развивает и финансирует сеть региональных центров по технологиям, связанным с изменением климата, под эгидой многосторонних банков развития (Африканского банка развития, Азиатского банка развития, Европейского банка реконструкции и развития и Межамериканского банка развития) и оказывает аналогичные услуги. Некоторые представители этих региональных центров принимают участие в рабочих совещаниях ННО и других совещаниях ЦСТИК[30]. Хорошее развитие и официальный статус получило сотрудничество между азиатскими и американскими региональными центрами и ННО ЦСТИК и партнерами по консорциуму, однако сотрудничество с европейскими и африканскими региональными центрами носит более ограниченный характер.

54. Большая часть (хотя и не все) мероприятий, представленных в первоначальной программе работы на 2013–2017 годы, была осуществлена (хотя, например, справочная служба создана не была). ЦСТИК приступил к осуществлению некоторых не запланированных в этой программе видов деятельности, в том числе к реализации программы «инкубаторов» для НРС, программ прикомандирования сотрудников и организации веб-семинаров. Эти изменения в программе были одобрены Консультативным советом и рассматриваются как отвечающие потребностям заинтересованных сторон.

[26] CTCN. 2015. *Key Discussion Points of the Fifth Advisory Board Meeting*. Имеется по адресу https://www.ctc-n.org/sites/www.ctc-n.org/files/resources/AB%205_Key%20discussion%20points%20v1.5%20final_0.pdf.

[27] Решения 25/CP.19, 1/CP.21, 12/CP.21, 13/CP.21 и 15/CP.22.

[28] См. решение 13/CP.21, пункт 7.

[29] По состоянию на июль 2017 года были приняты два проекта технической помощи – в Тонге и Гане; один проект находится на этапе рассмотрения в ЗКФ, а один вскоре будет представлен.

[30] См. документ FCCC/CP/2016/6.

55. В ходе обзора большинство опрошенных отмечали, что модель добровольного финансирования ЦСТИК не является уместной, поскольку ограничивает осуществление и выполнение его мандата. Указывалось, что нехватка финансовых средств ставит под угрозу операции ЦСТИК[31]. Ограниченные финансовые ресурсы были основным препятствием для достижения целевых показателей, установленных в первоначальной программе работы, особенно в том, что касается проектов по оказанию технической помощи. По состоянию на март 2017 года 31 соответствующий запрос не был рассмотрен в приоритетном порядке из-за отсутствия финансирования[32]. Без дополнительных источников финансирования ЦСТИК не сможет продолжать предоставление своих услуг с учетом растущих ожиданий со стороны развивающихся стран.

56. Добровольный характер модели финансирования приводит к недостаточной предсказуемости для ЦСТИК даже в среднесрочной и краткосрочной перспективе, ограничивая тем самым способность заблаговременно планировать ожидаемый объем работы.

57. Другая проблема заключается в том, что значительную долю (44%) финансовых ресурсов ЦСТИК составляют целевые средства, которые не могут быть направлены на реализацию текущих приоритетных задач ЦСТИК. 12% ресурсов предназначены для конкретных областей или конкретных видов деятельности (например, библиотека технологий) и не могут использоваться для деятельности, которая, возможно, имеет больший приоритет для ЦСТИК. 32% всех средств использовались ЦСТИК в рамках утвержденного бюджета в соответствии с соглашениями с донорами, в которых финансируемые виды деятельности планировались за несколько лет до начала их осуществления. Между тем мероприятия, которые ЦСТИК считает эффективными, могут отличаться от предусмотренных в годовых оперативных планах или в соглашениях с донорами (например, может поступить меньше, чем ожидалось, просьб об оказании технической помощи; могут предоставляться новые услуги, например в рамках программы «инкубаторов»). И даже если при осуществлении отдельных видов деятельности в рамках бюджета могут высвободиться дополнительные финансовые ресурсы, эти ресурсы не могут быть использованы для финансирования мероприятий, если не будут пересмотрены соглашения с донорами (в большинстве случаев доноры допускают такой пересмотр).

58. Несмотря на усилия секретариата ЦСТИК и участие Консультативного совета, а также обязательства, взятые на КС 22, и сотрудничество с ЗКФ, объем имеющихся средств меньше того объема, который планировался в первоначальной программе работы. Для расширения своих возможностей ЦСТИК активно взаимодействовал с ЗКФ, ГЭФ и многосторонними банками развития, результатом чего стало совместное осуществление ряда проектов по оказанию технической помощи после выявления инвестиционного потенциала.

2. Эффективность

59. Приоритетность услуг, предоставляемых ЦСТИК, определяется в соответствии с его мандатом: первоначально усилия были сосредоточены на практической реализации (подготовка ННО, определение процедур, разработка СУЗ, обеспечение связи и т.д.), и в настоящее время эти функции оказывают поддержку в развертывании деятельности по оказанию технической помощи и созданию сетей. ЦСТИК последовательно обеспечивал сбалансированный географический охват бенефициаров, уделяя особое внимание НРС, в том числе благодаря программе «инкубаторов».

[31] См. документ FCCC/SB/2016/1.

[32] Доля запросов, которым не уделяется приоритетного внимания из-за отсутствия финансирования, и запросов, которым не уделяется приоритетного внимания, поскольку соответствующая страна уже представила значительное число запросов, не известна.

60. Децентрализованная структура ЦСТИК (с участием ЮНЕП, ЮНИДО и региональных партнеров по консорциуму), наличие в каждом регионе трех консультантов, занимающихся деятельностью ЦСТИК, и разработка региональных мероприятий по укреплению потенциала (с региональными форумами и программой «инкубаторов») – все это способствует расширению возможностей ННО и представлению соответствующих просьб об оказании технической помощи. Географическое и тематическое распределение просьб об оказании технической помощи является сбалансированным. В то же время количество просьб, полученных ЦСТИК, было меньше, чем ожидалось, и в этой связи ЦСТИК подготовил меньшее, чем предполагалось, число ответных мер и проектов технической помощи (см. таблицу 2). Реализованные проекты надлежащим образом отвечали запросам ННО и бенефициаров.

Таблица 2
Цели и достижения в области оказания технической помощи

Год после создания	*Ожидаемое число ответных мер*[a]	*Пересмотренное число ответных мер*[b]	*Число новых просьб от ННО*	*Число новых разрабатываемых, осуществляемых или завершенных проектов*
Год 1 (2014)	6–10	6–10	20	15
Год 2 (2015)	70–105	70–100	55	27
Год 3 (2016)	120–170	120–170	82	55
Год 4 (2017)	160–230	90–130	28 (полгода)	8 (полгода)
Год 5 (2018)	180–250	–	–	–
Итого	**550–780**	**266–410 (за 4 года)**	**185 (за 3,5 года)**	**105 (более 3,5 лет)**

Источник: Ernst and Young et Associés, на основе данных Центра и Сети по технологиям, связанным с изменением климата. Имеется по адресу https://www.ctc-n.org/technical-assistance/request-visualizations.

[a] Целевые мероприятия в рамках первоначальной программы работы на 2013–2017 годы.

[b] Пересмотренные целевые мероприятия годовых оперативных планов.

61. ЦСТИК разработал СУЗ, которая поддерживает осуществление его операций и деятельности путем распространения информации о ЦСТИК, оказания содействия в представлении отчетности о его деятельности и информирования заинтересованных сторон о предстоящих мероприятиях. Все количественные целевые показатели в отношении разработки и обеспечения функционирования СУЗ (количество материалов, посещений и пользователей) были достигнуты (см. таблицу 3), и пользователи выразили удовлетворение системой. Тем не менее в ходе обзора большинство опрошенных заявили, что они редко используют СУЗ, а некоторые из них указали на конкретные трудности при получении информации с веб-сайта ЦСТИК (например, не достаточно удобная для пользователей структура сайта, отсутствие отдельной информации). Было признано, что библиотека технологий, на которую было потрачено много ресурсов, не используется в достаточной степени, что оправдывает решение Консультативного совета ограничить ее дальнейшую разработку.

62. Услуги ЦСТИК по укреплению потенциала были направлены на расширение возможностей ННО при более ограниченном участии других местных заинтересованных сторон. В целом участники этих мероприятий были ими удовлетворены и сочли их полезными. Эти мероприятия по укреплению потенциала и учебные мероприятия способствовали увеличению числа представляемых запросов. Вместе с тем некоторые ННО и участники Сети указали, что мероприятия и материалы имелись на недостаточном количестве языков (особенно веб-семинары), а также отметили отсутствие четкой информации о предстоящих мероприятиях (даты и места проведения сообщались слишком поздно) и тот факт, что мероприятия не проводятся достаточно часто.

Таблица 3
Цели и достижения в области управления знаниями, взаимного обучения и укрепления потенциала

Конечные результаты	*Совокупные целевые показатели за первые три года (программа работы на 2013–2017 годы)*	*Достижения на конец 2016 года*	*Достижения в сравнении с целевыми показателями*
Количество удаленных технических консультаций на основе справочной службы	90–120	Выполнено не в полной мере[a]	Достижение ниже целевого показателя, ввиду отсутствия спроса со стороны стран
Число проведенных рабочих совещаний и учебных мероприятий по укреплению потенциала	16–22	21 региональный форум	Выполнено в соответствии с целевым показателем
Средства и информационные материалы, в том числе посвященные извлеченным урокам и передовому опыту	3 500	10 768 на веб-сайте ЦСТИК	Целевой показатель превышен
Число подготовленных ННО ЦСТИК	260	В 2015 и 2016 годах подготовлено 255 ННО ЦСТИК[b]	Целевой показатель превышен[b, c]
Число подготовленных клиентов ЦСТИК	750	>1 500	
Число индивидуальных пользователей СУЗ	8 000	104 851 пользователь веб-сайта ЦСТИК	Целевой показатель превышен
Число посещений ресурсных и информационных страниц	50 000	145 138 посещений веб-сайта ЦСТИК	Целевой показатель превышен

Источник: Ernst and Young et Associés, на основе данных ЦСТИК.

Сокращения: ЦСТИК = Центр и Сеть по технологиям, связанным с изменением климата, СУЗ = система управления знаниями, ННО = назначенный национальный орган.

[a] Более подробную информацию см. в разделе A, посвященном актуальности, и в подразделе, посвященном изменению программы работы, в приложении IX.

[b] ЦСТИК сообщил, что подготовил 150 представителей в 2015 году (документ AB/2015/6/6a Консультативного совета ЦСТИК) и 105 – в 2016 году (документ AB/2016/8/6b Консультативного совета ЦСТИК), на основе мониторинга представителей ННО, участвовавших в региональных форумах и программе «инкубаторов». Вместе с тем проводился мониторинг лишь числа участников, а не числа конкретных подготовленных представителей ННО.

[c] ЦСТИК сообщил, что подготовил 1 200 клиентов в 2015 году (документ AB/2015/6/6a Консультативного совета ЦСТИК) и 377 клиентов в 2016 году (документ AB/2016/8/6b Консультативного совета ЦСТИК), на основе мониторинга

участников региональных форумов и веб-семинаров. Вместе с тем мониторинг числа подготовленных отдельных клиентов не проводился.

63. ЦСТИК частично достиг своих целей в области информационно-пропагандистской деятельности, создания сетей и привлечения заинтересованных сторон (см. таблицу 4). Помимо региональных мероприятий по созданию сетей, связанных с укреплением потенциала, ЦСТИК организовал несколько международных мероприятий и рабочих совещаний. До недавнего времени, за исключением форумов заинтересованных сторон, ЦСТИК основное внимание уделял практической реализации своей деятельности. Информационно-пропагандистская деятельность, создание сетей и мобилизационные мероприятия были в основном сосредоточены на расширении возможностей ННО (в ходе региональных мероприятий по созданию сетей) и повышении осведомленности о ЦСТИК и его услугах среди потенциальных бенефициаров и членов Сети (с участием представителей ЦСТИК на международных мероприятиях). Взаимодействие между членами Сети и привлечение заинтересованных сторон были ограниченными. ЦСТИК столкнулся с трудностями в мобилизации частного сектора, несмотря на свои партнерские связи с компанией ДНВ ГЛ и Консультативной сетью по вопросам частного финансирования, а также реализацию ряда инициатив в ходе мероприятий по созданию сетей.

Таблица 4
Цели и достижения в области информационно-пропагандистской деятельности, создания сетей и участия частного сектора

Конечные результаты	*Совокупные целевые показатели за первые три года (программа работы на 2013–2017 годы)*	*Достижения на конец 2016 года*	*Достижения в сравнении с целевыми показателями*
Число международных мероприятий/форумов по вопросам технологий	8–12	Участие в 17 мероприятиях[a]	Целевой показатель превышен, однако некоторые мероприятия учитывались в нескольких ключевых показателях работы
Число региональных рабочих совещаний государственного и частного сектора	12–18	Участие в 20 рабочих совещаниях[a]	
Число региональных сетевых совещаний	18–27	Организация 21 регионального форума[b]	
Число партнеров по СУЗ (партнеров, которые предоставили средства и информационные материалы для системы управления знаниями)	200	265 (по состоянию на март 2017 года)	Целевой показатель превышен

Источник: Ernst and Young et Associés, на основе данных Центра и Сети по технологиям, связанным с изменением климата.

[a] ЦСТИК организовал некоторые из этих мероприятий, например, форум восточноафриканских заинтересованных сторон по вопросам экологически чистых технологий, который состоялся в Найроби в 2016 году.

[b] Эти мероприятия были учтены как мероприятия по укреплению потенциала.

64. Общий объем средств, израсходованных в первые три года с момента создания ЦСТИК (2014–2016 годы), на 40% ниже объема, запланированного в го-

довых оперативных планах (см. таблицу 5). Эта разница в основном объясняется следующими факторами:

a) обеспечение функционирования ЦСТИК (установление процедур, подготовка ННО, коммуникационная деятельность и т.д.), потребовало больше времени, чем первоначально планировалось, в связи с чем предоставление его услуг началось с задержкой;

b) ЦСТИК получил от развивающихся стран меньшее, чем предполагалось, количество просьб об оказании технической помощи, особенно в первый год, и следовательно не осуществил запланированное число проектов технической помощи;

c) ЦСТИК столкнулся с нехваткой финансовых ресурсов, что ограничило его деятельность.

Таблица 5
Бюджет и расходование средств
(в долл. США)

Год с момента создания	*Общий объем поступлений (добровольные взносы)*	*Первоначальный бюджет (программа работы на 2013–2017 годы)*	*Пересмотренный бюджет (годовые оперативные планы на 2015, 2016, 2017 годы)*	*Общий объем расходов (годовые финансовые ведомости)*	*Разница (расходы/ пересмотренный бюджет) (%)*
Год 0 (2013)	12 020 000	–	–	410 000	–
Год 1 (2014)	4 670 000	4 300 000	4 300 000	6 760 000	+57
Год 2 (2015)	10 790 000	12 000 000	14 500 000	11 000 000[a]	–24
Год 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**

Источник: Ernst and Young et Associés, на основе данных Центра и Сети по технологиям, связанным с изменением климата.

Примечание: бюджет не включает денежные взносы и взносы натурой от ЮНЕП, ЮНИДО и партнеров по консорциуму.

[a] Расходы за 2015 год после корректировки с учетом обязательств, которые ранее не признавались в предварительных заявлениях. Данные за 2016 год основаны на предварительных заявлениях.

3. Результативность

65. Консультативный совет предоставлял надлежащие указания секретариату ЦСТИК по вопросам осуществления его мандата и по стратегическим вопросам. Большую пользу в дальнейшем изучении отдельных вопросов оказали целевые группы. С учетом характера работы ЦСТИК и растущих ожиданий развивающихся стран необходимо активизировать техническую экспертную помощь в рамках Консультативного совета для дальнейшего обеспечения надлежащего стратегического руководства. Формированию этого экспертного технического потенциала способствует участие председателей ИКТ в работе совещаний Консультативного совета, а также в других существующих механизмах сотрудничества между ИКТ и ЦСТИК. В качестве фактора, снижающего эффективность Консультативного совета, было названо отсутствие специальной платформы для обсуждения договоренностей с донорами.

66. Постепенно укрепляются транспарентность и подотчетность ЦСТИК в отношении своей деятельности и финансовых ресурсов. Вместе с тем члены Консультативного совета выступают за более частое представление докладов по

этому вопросу в период между совещаниями Консультативного совета. Доноры, также являющиеся членами Консультативного совета, запросили дополнительные данные о надлежащем использовании их средств в условиях транспарентности и обеспечения разумности затрат. В ходе обзора была отмечена недостаточная транспарентность в договоренностях, заключаемых ЦСТИК с донорами.

67. Было отмечено, что партнерство между ЮНЕП и ЮНИДО обеспечивает эффективное осуществление мандата ЦСТИК. Эти две организации располагают взаимодополняющими экспертными знаниями и четко распределенными функциями; они мобилизовали свои ресурсы, сети и процессы для облегчения ввода в действие ЦСТИК и обеспечения его интеграции в рамках РКИКООН и КС.

68. Первоначально выделенные ЦТИК людские ресурсы были недостаточными для охвата его сферы деятельности. Для выполнения задач Центра ЮНЕП и ЮНИДО были вынуждены опираться на поддержку партнеров по консорциуму и на мобилизацию участников Сети. Основная группа ЦТИК смогла обеспечить необходимых специалистов и оказание надлежащей поддержки ННО и бенефициарам, несмотря на определенное отсутствие экспертных знаний в области адаптации и трудности, обусловленные наличием целого ряда незаполненных должностей после незапланированного ухода сотрудников.

69. В первоначальной программе работы ЦСТИК на 2013–2017 годы была определена и утверждена Консультативным комитетом в 2013 году «дорожная карта» предоставления услуг ЦСТИК. Эта программа пересматривается на ежегодной основе с учетом наличия у ЦСТИК средств и указанных развивающимися странами потребностей. Несмотря на конструктивное участие консорциума, для начала функционирования ЦСТИК потребовалось больше, чем предполагалось, времени, что в основном обусловлено нехваткой ресурсов (более подробно см. подраздел о своевременном внедрении ЦСТИК в разделе B приложения IX).

70. Организация деятельности ЦСТИК по регионам, при которой партнеры по консорциуму действуют каждый в своей области знаний, явилась весьма позитивным фактором, способствующим созданию ЦСТИК. Консорциум имел возможность оказывать поддержку ЦСТИК в обеспечении коммуникации, выявлении и представлении запросов на оказание технической помощи и организации региональных мероприятий. Партнеры по консорциуму сыграли важную роль в консультировании ЦТИК по вопросам оценки поступающих запросов и в подготовке планов ответных мер, хотя в ряде случаев имели место существенные задержки в подготовке этих планов. Большинство проектов технической помощи направлялось партнерам по консорциуму в рамках процесса «быстрого реагирования», что позволяло экономить время, которое обычно необходимо для проведения торгов, и было весьма эффективно с учетом ограниченных финансовых ресурсов, имевшихся в первые годы осуществления. Бенефициары признали адекватность ресурсов партнеров по консорциуму в плане мобилизации потенциала и необходимых специалистов для оказания технической помощи.

71. Несмотря на то, что ЦСТИК удалось собрать в рамках своей Сети достаточное число разнообразных партнеров, ему не удалось создать реальное сообщество. Большинство участников не ведут активной работы в рамках Сети, не вносят вклад в СУЗ, не оказывают техническую помощь[33] и слабо участвуют в мероприятиях ЦСТИК. Некоторые участники Сети были разочарованы предоставляемыми ЦСТИК коммерческими возможностями и организуемыми им сетевыми мероприятиями. В ходе обзора ряд опрошенных поставили под сомнение сохранение устойчивости и ценности Сети без повышения уровня участия

[33] ЦСТИК ожидает, что распределение проектов технической помощи, осуществляемых партнерами по консорциуму и участниками Сети, постепенно станет сбалансированным (что было признано Консультативным советом на его 9-м совещании).

в ней. Хотя по состоянию на декабрь 2016 года участники Сети внесли вклад в реализацию лишь 20% проектов по оказанию технической помощи, с начала 2017 года ими было удовлетворено 50% от общего числа (29) запросов технической помощи, находящихся на этапе выполнения. Целевая группа ЦСТИК прогнозирует на 2017 год реализацию участниками сети 60% запросов технической помощи.

72. Важную роль в выявлении и координации просьб об оказании технической помощи играют ННО в развивающихся странах. Тем не менее из-за нехватки ресурсов и в связи с проблемами управления на местном уровне ННО из развивающихся стран не всегда в состоянии в полной мере играть свою роль, что приводит к задержкам и другим недостаткам (например, в представлении просьб об оказании технической помощи, которые требуют доработки в сотрудничестве с ЦСТИК, в представлении ответов ЦСТИК). Кроме того, пришлось сохранять проведение мероприятий по укреплению потенциала (в частности, программу «инкубаторов»), которые доказали свою успешность в деле расширения возможностей ННО, по причине значительной ротации в рамках ННО. Хотя ЦТИК разработал руководство по вопросу о роли и обязанностях ННО из развитых стран, было отмечено, что руководство не является достаточно четким.

73. Было отмечено, что процесс оказания технической помощи займет больше времени, чем ожидалось, главным образом из-за слишком амбициозных первоначальных целевых показателей ЦСТИК. Хотя сроки осуществления этого процесса короче, чем в других международных организациях, отдельные ННО и бенефициары указали на его чрезмерную продолжительность, а некоторые сообщили, что не удовлетворены им. К числу основных факторов, объясняющих задержки в этом процессе, относятся сложность организации ЦСТИК с многочисленными участниками и принимающими решения субъектами (например, ННО, партнеры по консорциуму, персонал ЦТИК), нехватка ресурсов (для основной группы ЦСТИК, партнеров по консорциуму и ННО) и внешние причины (например, политические и управленческие изменения на местном уровне).

74. Несмотря на то, что стратегия в области коммуникации была определена и осуществляется, информированность заинтересованных сторон на местах о ЦСТИК и его услугах остается ограниченной. Региональные форумы и сетевые мероприятия не смогли охватить достаточную аудиторию, а коммуникация между ННО и заинтересованными сторонами за пределами институциональной экосистемы отсутствует.

75. Одобренные Консультативным советом процедуры ЦСТИК позволили обеспечить начало функционирования ЦСТИК и упорядочить его услуги. В первые два года деятельности ЦСТИК были созданы четкие процедуры, процессы управления и средства коммуникации, обеспечивающие эффективную поддержку операций ЦСТИК.

76. На первом этапе своего функционирования ЦСТИК выделял значительную долю своих бюджетных средств на развитие СУЗ и расширение возможностей ННО. С 2016 года ЦСТИК сосредоточил свои финансовые ресурсы на выполнении проектов в области технической помощи и укреплении связей и взаимодействия с заинтересованными сторонами. В то время как из-за ограниченности ресурсов другие расходы сократились, доля бюджетных средств, выделяемых на операции, была выше, чем ожидалось (по сравнению с долей, выделяемой на оказание услуг), что обусловлено фиксированными расходами.

77. По мере возможности ЦСТИК оптимизировал свою деятельность с целью сокращения расходов, в частности взаимодействуя с другими заинтересованными сторонами и используя имеющиеся знания и материалы своих партнеров.

78. Деятельность ЦСТИК в целом была эффективной с точки зрения затрат и позволила обеспечить существенные результаты несмотря на ограниченность имеющихся ресурсов. Хотя объем имеющихся средств иногда воспринимался

как слишком незначительный для достижения ожидаемых результатов, бенефициары были удовлетворены реализуемыми ЦСТИК проектами и в целом признали, что ЦСТИК может добиться максимальных результатов при имеющихся ограниченных средствах.

4. Воздействие и устойчивость

79. Ряд конкретных результатов деятельности ЦСТИК уже можно отметить в формировании энергетической политики и подготовке законов и планов, связанных с разработкой и передачей климатических технологий. ЦСТИК продемонстрировал свою способность инициировать проекты, которые получали больший объем финансовых средств на более позднем этапе. Тем не менее ЦСТИК не смог достичь своих целевых показателей по результатам деятельности (см. таблицу 6).

Таблица 6
Целевые показатели и достижения по результатам деятельности

Показатели результатов[a]	*Целевые показатели на пятый год осуществления (2017 год)*	*Достижения на конец 2016 года*
Инвестиции в климатические технологии, осуществленные благодаря помощи ЦСТИК и финансированию в рамках плана последующих мер, прямо или косвенно связанному с деятельностью ЦСТИК	0,6 млрд долл. США	Взяты обязательства на 5 000 долл. США 1,14 млн долл. США в рамках прямых переговоров или представлены инвесторам и донорам Оценочные инвестиционные возможности в размере 350 млн долл. США
Число национальных и секторальных планов в области технологии, реализуемых благодаря содействию ЦСТИК	50–75	7
Число новых реализуемых странами технологических проектов и/или стратегий (политика и законодательство) разработанных, осуществляемых и укрепляемых благодаря содействию ЦСТИК	100	9
Число государственно-частных партнерств, созданных в результате рабочих совещаний	13	3[b]
Число двусторонних договоренностей, заключенных в результате сетевых мероприятий	18	4[c]

Показатели результатов[a]	*Целевые показатели на пятый год осуществления (2017 год)*	*Достижения на конец 2016 года*
Деятельность ЦСТИК, прямо или косвенно способствовавшая развитию сотрудничества Юг–Юг, Север–Юг или трехстороннего сотрудничества	Показатели отсутствуют	5

Источник: Ernst and Young et Associés, на основе данных ЦСТИК.

Сокращения: ЦСТИК = Центр и Сеть по технологиям, связанным с изменением климата.

[a] Документ AB/2015/5/15 Консультативного совета ЦСТИК.

[b] ЦСТИК сообщил, что создал одно государственно-частное партнерство в 2015 году с Консультативной сетью частного финансирования (КСЧФ) в рамках работы по проектам технической помощи (см. документ AB/2015/6/6a Консультативного совета) и одно – в 2016 году в результате форума восточноафриканских заинтересованных сторон (см. документ AB/2016/8/6b Консультативного совета).

[c] ЦСТИК сообщил, что добился заключения двух двусторонних соглашений в 2015 году в рамках дискуссий с региональными банками развития (см. документ AB/2015/6/6a Консультативного совета) и двух – в 2016 году благодаря сотрудничеству с КСЧФ и Всемирной организацией интеллектуальной собственности (см. документ AB/2016/8/6b Консультативного совета).

80. Характер деятельности ЦСТИК и его довольно «молодой» возраст затрудняют оценку результатов, которая, по всей вероятности, будет реализована через несколько лет после завершения того или иного проекта или мероприятия. Кроме того, сам по себе характер ЦСТИК (например, модель добровольного финансирования, оказание технической помощи на основе запросов стран) и тот факт, что ЦСТИК полностью стал функционировать позже, чем предполагалось, говорят о том, что пятилетние целевые показатели, возможно, являются слишком амбициозными.

81. Ряд качественных примеров долгосрочного глобального воздействия ЦСТИК на меры по предотвращению изменения климата и адаптации уже заметны, однако являются ограниченными по причине новизны ЦСТИК и характера реализуемых проектов (в качестве первых шагов в рамках более важных изменений). В настоящее время система контроля и оценки не приспособлена для учета воздействия услуг ЦСТИК на макроуровне (развитие потенциала, расширение знаний, укрепление систем, сокращение углеродоемкости, повышение индекса уязвимости к изменению климата, содействие достижению целей в области устойчивого развития). Тем не менее такая информация имеет исключительно важное значение для демонстрации донорам эффективности расходования средств и отдачи от использования услуг ЦСТИК для развивающихся стран.

82. Несмотря на отсутствие эффективной системы контроля и оценки, заинтересованные стороны отмечают, что ЦСТИК может также способствовать получению незапланированных позитивных результатов в плане местного развития, учета гендерных факторов и охраны окружающей среды. ЦСТИК изучает вопрос о разработке комплексной стратегии с целью повышения его воздействия в области актуализации гендерной проблематики.

B. Выводы

83. По мнению консультанта, основные успехи в плане эффективного осуществления деятельности ЦСТИК состоят в следующем:

a) бенефициары выразили удовлетворение предоставленными ЦСТИК услугами. Опрошенные лица и респонденты в рамках обзора признали цен-

ность ЦСТИК, которая обусловлена главным образом объемом оказываемой им технической помощи и сроками ее предоставления. ЦСТИК содействовал укреплению взаимодействия с финансовыми учреждениями и техническими партнерами в целях недопущения дублирования и использования результатов своей технической помощи;

b) в целом ЮНЕП, ЮНИДО и партнеры по консорциуму успешно осуществляли последующие решения КС и создали в соответствии с ними ЦСТИК, который позволил обеспечить эффективное выполнение мандата КС и стать признанным учреждением, занимающим свое место в системе мер, связанных с глобальным климатом. ЦСТИК последовательно принимал меры по адаптации приоритетности своих услуг в зависимости от имеющихся финансовых ресурсов и пересматривал свою программу работы с целью осуществления последующих решений КС;

c) начало функционирования ЦСТИК заняло определенное время, однако результатом этого стало создание весьма эффективной организации. Консорциум обеспечивает хорошее сочетание основных и региональных экспертных знаний и опыта, а также знание процедур Организации Объединенных Наций, которые обеспечили применение решений КС и содействовали предоставлению услуг ЦСТИК;

d) Консультативный совет ЦСТИК обеспечивал полезное стратегическое руководство в отношении операций и услуг ЦСТИК, способствующее выполнению решений КС и эффективному началу функционирования ЦСТИК;

e) мероприятия по укреплению потенциала дали возможность НМО определять и представлять соответствующие запросы, а в ответ на них ЦСТИК предоставлял адресную техническую помощь, соответствующую потребностям конкретной страны.

84. По мнению консультанта, основные трудности, связанные с эффективным осуществлением деятельности ЦСТИК, состоят в следующем:

a) модель финансирования и, как следствие, ограниченность имеющихся у ЦСТИК средств не позволяют ему предоставлять услуги на ожидаемом уровне. Повышение предсказуемости и безопасности финансовых ресурсов дадут ЦСТИК возможность продолжать успешное выполнение мандата КС и отвечать потребностям и ожиданиям развивающихся стран;

b) в настоящее время отсутствует платформа для обеспечения транспарентности и подотчетности работы ЦСТИК и проведения обсуждений с донорами;

c) с учетом характера работы ЦСТИК и растущих ожиданий развивающихся стран необходимо активизировать техническую экспертную помощь в рамках Консультативного совета для продолжения обеспечения надлежащего стратегического руководства;

d) ограниченный объем мобилизованных людских ресурсов в основной группе ЦСТИК и у партнеров по консорциуму замедлил предоставление услуг по оказанию технической помощи и ограничил возможности ЦСТИК достичь своих целевых показателей по результатам. Кроме того, ЦСТИК не в достаточной степени использовал ресурсы и экспертный опыт своей Сети: этот пул ресурсов мог бы способствовать предоставлению технической помощи. Члены Сети выразили неудовлетворенность в связи со слабым участием в ней отдельных ее представителей. Вместе с тем данные за первую половину 2017 года и прогнозируемые цифры на весь год дают основания предполагать, что участники Сети будут осуществлять все большее число проектов по оказанию технической помощи;

e) процесс оказания технической помощи зависит от НМО развивающихся стран, которые, как правило, не располагают ресурсами или возможностями для координации взаимодействия с бенефициарами и поддержания на до-

статочном уровне контакта с местными заинтересованными сторонами. Оказание технической помощи только в ответ на просьбы стран ограничивает деятельность ЦСТИК (число запросов было меньше, чем ожидалось), а также возможности для распространения этой деятельности;

f) был отмечен ряд примеров неэффективности операций, что привело к задержкам в осуществлении проектов технической помощи, а также были указаны области, нуждающиеся в улучшении, в том числе в вопросах организации мероприятий и веб-семинаров. Кроме того, существуют возможности повышения отдачи от процесса оказания технической помощи;

g) ЦСТИК доказал свою эффективность в плане удовлетворительной организации мероприятий, однако общие результаты деятельности остаются более низкими, чем ожидалось, при этом сообщалось лишь о качественных примерах предполагаемого воздействия на макроуровне. ЦСТИК необходимо еще больше продемонстрировать успешные результаты своих услуг, с тем чтобы подтвердить свою ценную роль в оказании поддержки развивающимся странам в активизации и ускорении их действий по борьбе с изменением климата и достижению целей Парижского соглашения. В конечном счете это позволит текущим донорам убедиться в рациональном использовании средств и будет оправдывать мобилизацию дополнительных ресурсов.

C. Рекомендации

85. Консультант подготовил нижеследующие рекомендации для улучшения работы ЦСТИК.

1. Управление и организация

a) Рекомендация 1: рекомендует странам добиваться повышения информированности их ННО со стороны соответствующих заинтересованных сторон и поддерживать свои ННО через национальные учреждения и в рамках сотрудничества с другими национальными координационными центрами РКИКООН

86. Поскольку ННО сообщили об отсутствии поддержки и признания на национальном уровне, эта рекомендация будет способствовать обеспечению того, чтобы работа ЦСТИК приобрела известность и получила поддержку со стороны соответствующих национальных учреждений. Это может быть достигнуто путем организации ежегодных форумов координационных центров РКИКООН, с тем чтобы представители РКИКООН и связанных с ней институциональных механизмов и ННО совместно работали над обеспечением большей взаимодополняемости и воздействия их соответствующей деятельности, связанной с изменением климата. Кроме того, развивающиеся страны могли бы рекомендовать своим ННО консультироваться с другими национальными структурами в целях выявления, отбора и уточнения просьб об оказании технической помощи, с тем чтобы обеспечить твердую поддержку таких просьб на национальном уровне и их тесную увязку с национальными приоритетами и текущими изменениями и усилиями в области развития.

b) Рекомендация 2: укрепить управление ЦСТИК, с тем чтобы оно и далее отвечало потребностям ЦСТИК в плане стратегического и технического руководства

87. Участвовавшие в обзоре заинтересованные стороны указали на отсутствие ясности в отношении роли Консультативного совета. Хотя мандат Консультативного совета состоит прежде всего в том, чтобы одобрять оперативные планы и бюджет, его роль вышла за рамки этих задач, и в настоящее время Совет обеспечивает стратегическое руководство. КС мог бы пересмотреть мандат Консультативного совета, с тем чтобы он четко предусматривал обеспечение

стратегического руководства для ЦСТИК. Кроме того, Сторонам можно было бы предложить выдвигать кандидатов в состав Консультативного совета, которые располагают техническими экспертными знаниями в области разработки и передачи технологий для мер по адаптации и предотвращению.

c) Рекомендация 3: предлагает ЦСТИК уточнить роль ННО развитых стран

88. Участвовавшие в обзоре заинтересованные стороны отметили отсутствие ясности в отношении роли и обязанностей ННО из развитых стран. Эта рекомендация даст ЦСТИК возможность воспользоваться техническим опытом ННО развитых стран и содействовать сотрудничеству и мобилизации средств. Такие меры должны быть направлены на укрепление участия ННО из развитых стран в деятельности ЦСТИК, что может быть достигнуто путем создания рабочей группы в составе ННО из развитых стран в целях дальнейшего формирования их участия и вклада в ЦСТИК.

2. Финансирование

a) Рекомендация 4: предлагает ЮНЕП и ЮНИДО как организациям, принимающим ЦСТИК, выявлять потенциальные источники дополнительных финансовых ресурсов

89. Текущая модель финансирования ЦСТИК в основном зависит от добровольных взносов стран, и ограниченность имеющихся у ЦСТИК ресурсов была названа в качестве одного из основных факторов, препятствующих ему предоставлять услуги на ожидаемом уровне. Одним из путей выполнения этой рекомендации ЮНЕП и ЮНИДО является выявление и регулярное обновление возможных дополнительных источников финансирования (в том числе благотворительных фондов и частных источников, а также проведение кампаний по сбору средств), адаптированных для деятельности ЦСТИК. С учетом характеристик выявленных источников финансирования (сумма, формат, процедуры) ЦСТИК мог бы затем определять приоритеты в усилиях по мобилизации средств. Кроме того, ЦСТИК рекомендуется создать в рамках своей группы должность по вопросам мобилизации средств и налаживания диалога с донорами, что позволило бы другим сотрудникам сосредоточить внимание на выполнении своих функций.

b) Рекомендация 5: предлагает ЦСТИК, ГЭФ и ЗКФ продолжать изучение путей дальнейшего содействия в рамках их соответствующих мандатов обеспечению стабильного финансирования деятельности ЦСТИК и укреплению оперативных связей между этими организациями

90. В качестве одного из основных факторов, препятствующих ЦСТИК предоставлять услуги на ожидаемом уровне, была названа ограниченность имеющихся у него ресурсов. ГЭФ и ЗКФ проявили готовность оказывать поддержку ЦСТИК, но это было сделано в конкретной ситуации, в то время как ЦСТИК нуждается в большей предсказуемости своих финансовых ресурсов. Обеспечение финансирования по линии ГЭФ и ЗКФ должно быть направлено на сведение к минимуму задержек, с тем чтобы не препятствовать эффективности деятельности ЦСТИК. Кроме того, ГЭФ создал и финансирует сеть региональных центров по технологиям, связанным с изменением климата, которые оказывают аналогичные услуги и взаимодействуют с ЦСТИК в ограниченных масштабах. Укрепление связей между ЦСТИК и региональными центрами ГЭФ по технологиям, связанным с изменением климата, будет способствовать обмену знаниями и повышению потенциального синергизма на региональном уровне. Страны должны стремиться к тому, чтобы их ННО в контакте с их страновым координационным центром ГЭФ разрабатывали концепции проектов, в рамках которых могли бы использоваться услуги как ЦСТИК, так и ГЭФ. Повышению взаимосвязи между технической помощью ЦСТИК и программами финансирования ЗКФ могла бы способствовать институционализация отношений между соответствующими ННО. Это позволит максимально повысить по-

тенциал взаимодействия этих субъектов с точки зрения коммуникации, обеспечения согласованности на национальном уровне, взаимодополняемости, поддержания отношений между местными и международными заинтересованными сторонами, а также в плане людских ресурсов.

3. Техническая помощь

Рекомендация 6: предлагает ЦСТИК, его Консультативному совету и ННО повысить эффективность ЦСТИК в области оказания технической помощи

91. Были отмечены отдельные недостатки в предоставлении технической помощи, которые ведут к задержкам, дополнительной работе для ЦСТИК и вызывают неудовлетворенность отдельных бенефициаров. Одним из путей повышения эффективности является улучшение контроля за сроками подготовки планов реагирования ЦСТИК. Кроме того, ЦСТИК рекомендуется продолжать проводить и делать все более открытыми тендеры на оказание технической помощи для участников Сети в целях дальнейшего использования их опыта и ресурсов. ЦСТИК также мог бы изучить возможность создания в рамках Сети пула специалистов, которые могли бы быть мобилизованы для решения конкретного вопроса или в рамках конкретного региона и имели бы преимущество перед потенциальными участниками тендера на оказание технической помощи в их сфере специализации. ЦСТИК мог бы также выявлять примеры передовой практики и успешных проектов в области технической помощи в целях их распространения посредством укрепления потенциала и обмена знаниями. Наконец, обеспечению более эффективного распределения ресурсов, а также систематической оценке возможности оказания технической помощи большему, чем указано в запросе, числу стран, могло бы способствовать поощрение межрегиональной технической помощи в рамках ННО.

4. Управление знаниями, взаимное обучение и укрепление потенциала

Рекомендация 7: рекомендует ЦСТИК продолжать регулярную подготовку ННО и оказание содействия в формулировании запросов через свои региональные форумы и программу «инкубаторов»

92. Заинтересованные стороны указали на необходимость мер по укреплению потенциала в целях расширения возможностей ННО развивающихся стран, которые играют важнейшую роль в выявлении и представлении запросов. Эта рекомендация позволит обеспечить сохранение специализированных знаний и опыта в рамках пула ННО и соответствие запросов характеру услуг ЦСТИК по оказанию технической помощи и национальным приоритетам. Одним из путей расширения возможностей и повышения эффективности ННО является, в частности, создание моделей укрепления потенциала, которые опираются на успешные проекты технической помощи, в целях содействия их применению в других странах. Кроме того, рекомендуется, чтобы ЦСТИК заблаговременно обеспечивал планирование и организацию мероприятий и веб-семинаров и заранее сообщал даты их проведения в целях содействия более широкому участию в них.

5. Информационно-пропагандистская деятельность, создание сетей и участие заинтересованных сторон

a) Рекомендация 8: предлагает ЦСТИК продолжать работу по повышению осведомленности о его услугах в развивающихся странах

93. Как представляется, осведомленность местных заинтересованных сторон о ЦСТИК и его услугах является достаточно ограниченной. Эта рекомендация позволит развивающимся странам в полной мере использовать услуги ЦСТИК. Одним из путей достижения этого является поддержка участия большего числа заинтересованных сторон из развивающихся стран (особенно представителей частного сектора) в оказании технической помощи, укреплении потенциала и

сетевых мероприятиях ЦСТИК, поскольку они располагают соответствующей информацией о пробелах на национальном уровне и могут поддерживать применение климатических технологий на местах.

b) Рекомендация 9: предлагает ЦСТИК укреплять участие членов Сети в своей деятельности

94. Было установлено, что ЦСТИК в процессе оказания своих основных услуг, как правило, не в полной мере использует выделяемые ресурсы и знания своей сети. Этот пул ресурсов мог бы существенно помочь в деле оказания технической помощи. Члены Сети выразили неудовлетворенность в связи со слабым участием в ней отдельных ее представителей. Одним из путей решения этой проблемы является, в частности, более частое обращение к Сети с просьбой вносить вклад в предоставляемые ЦСТИК основные услуги, в том числе в оказание технической помощи и СУЗ, а также проводить большее число мероприятий для членов Сети, как, например, мероприятие, проведенное на КС 22.

6. Контроль, оценка и отчетность

Рекомендация 10: предлагает ЦСТИК повысить транспарентность своих механизмов финансирования и улучшить отчетность и оценку результатов

95. Для мобилизации дополнительных средств ЦСТИК необходимо продемонстрировать своим нынешним донорам рациональность использования средств. Одним из способов достижения этой цели является повышение транспарентности соглашений с донорами путем их размещения на веб-сайте ЦСТИК. Важное значение также имеет последующее информирование о результатах. Рекомендуется, чтобы ЦСТИК чаще информировал Консультативный совет о результатах своей деятельности посредством проведения ежеквартальных информационных встреч, посвященных прогрессу в достижении стратегических ключевых показателей работы. Кроме того, ЦСТИК мог бы проводить ежегодные форумы доноров с целью информирования о деятельности ЦСТИК и обсуждения и, в случае необходимости, пересмотра соглашений с донорами. ЦСТИК также рекомендуется завершить разработку рамок контроля и оценки, отражающих результаты и их воздействие и позволяющих представлять итоги анализа в простой форме, а также содержащих количественную и объективную информацию о воздействии технической помощи. ЦСТИК мог бы проводить последующую оценку результатов через несколько лет после завершения каждого проекта технической помощи для демонстрации его воздействия и оценки надежности и возможности более широкого применения.

7. Консультативный совет

Рекомендация 13: просит Консультативный совет обеспечить практическую реализацию рекомендаций, вынесенных по итогам этого обзора

Annex I*

List of acronyms used in the annexes

[English only]

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

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

Annex II

List of COP decisions related to the CTCN

[English only]

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

Planning of the independent review

[English only]

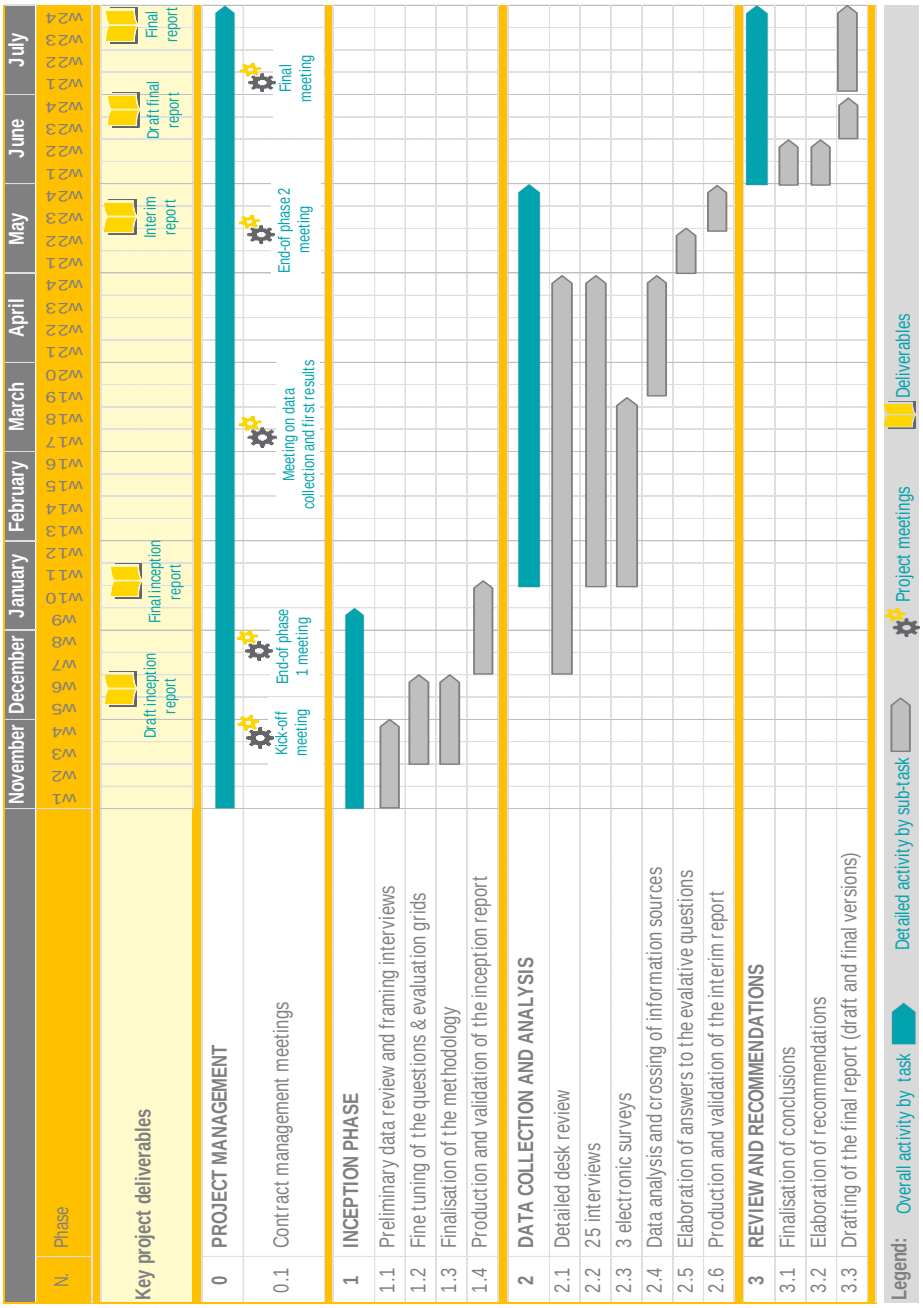
1. Figure 7 presents the overall planning of the CTCN review that started at the beginning of November 2016.

(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

Evaluation grids

[English only]

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

[English only]

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.
- Paris Agreement. Available at: *http://unfccc.int/ttclear/negotiations/decisions.html*

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Operating plans:

- UNEP – UNIDO. 2013. *Joint UNEP-UNIDO Programme to host and manage the Climate Technology Centre and Network (CTCN).* Available at https://open.unido.org/api/documents/3036399/download/Project%20Document%20120444.
- 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

[English only]

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

[English only]

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%

Annex VIII

Summary of services provided by the CTCN

[English only]

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;

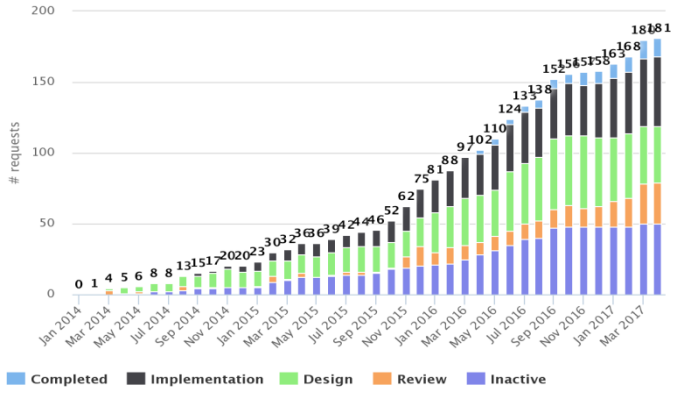
(c) Implementation: Selecting and contracting the implementation team, implementing the response plan;

(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]



[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

[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*.

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;

(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.

[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.

[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.

[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

[English only]

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

[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.

all requests submitted as of May 2017 were classified as non-eligible by the CTCN.[4] Such 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.

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

[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.

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.

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

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

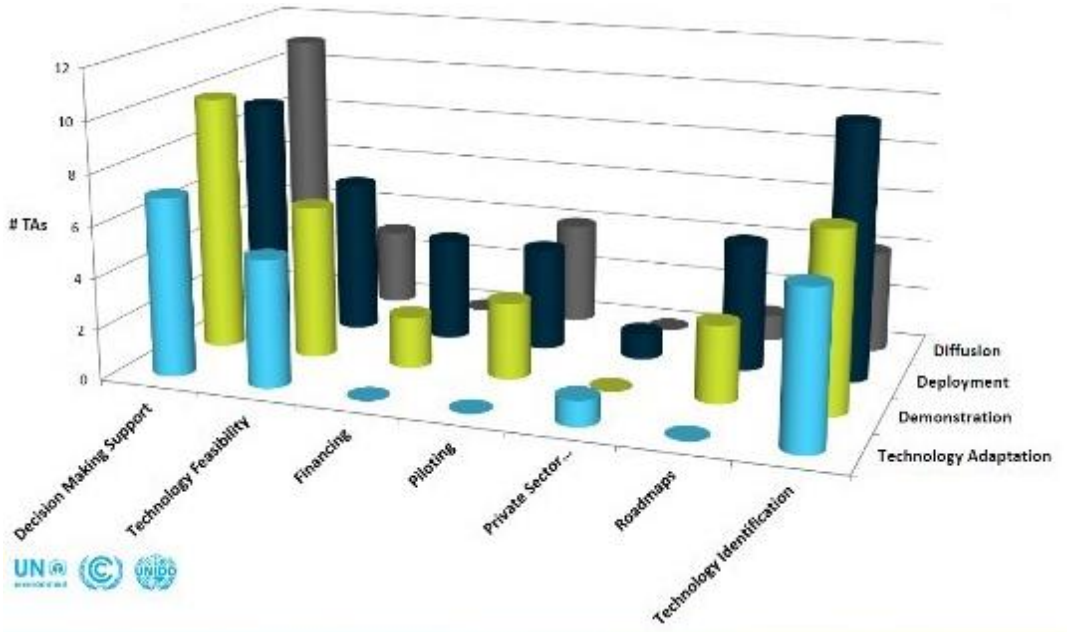
[9] Decision 17/CP.20, 13/CP.21, 14/CP.22, 15/CP.22.

[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*.

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);

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

[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."*

reports only a total number of technical assistance implemented, without specifying the split between quick and project responses;[14]

(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

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

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 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

[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.

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 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

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

[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.

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]

(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.

[24] Source: CTCN. 2017. *CTCN Capacity Building in a Snapshot - AB/2017/9/7.2*.
[25] Ibid.
[26] Source: UNFCCC.2016. *2016 report of the GEF to the COP. FCCC/CP/2016/6*.

(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;

(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

[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*.

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]

(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;

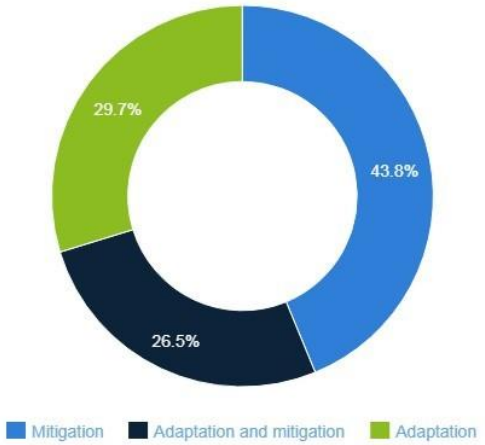
(e) and 2% from Eastern Europe, which represents 5% on non-Annex I countries.

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

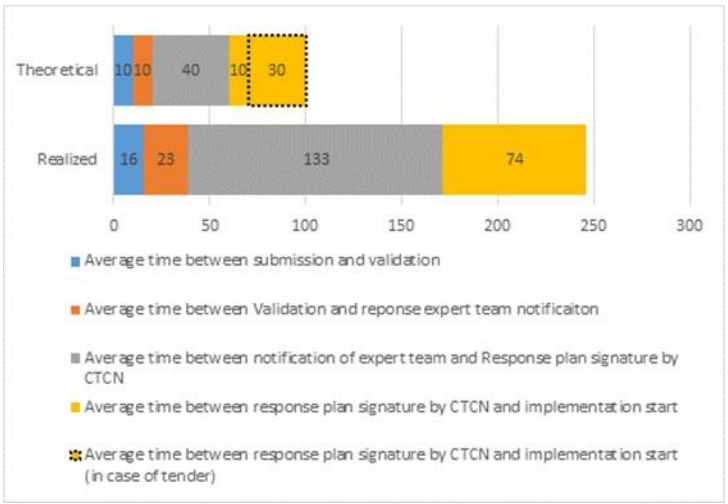
42. The thematic distribution of requests is also rather balanced, although slightly skewed towards mitigation objectives (see figure 11). This suggests that the prioritization criteria have guaranteed the fulfilment of the CTCN's mandate thus far, supported by AB's guidance.

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]



[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).

(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 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.

[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

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).

(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

my request in short-enough time?".

[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.

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 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

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

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.

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;

[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.

(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;

(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]

[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).

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 (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;

[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."

(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;

(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;

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

(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;

(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.

[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*.

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).

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

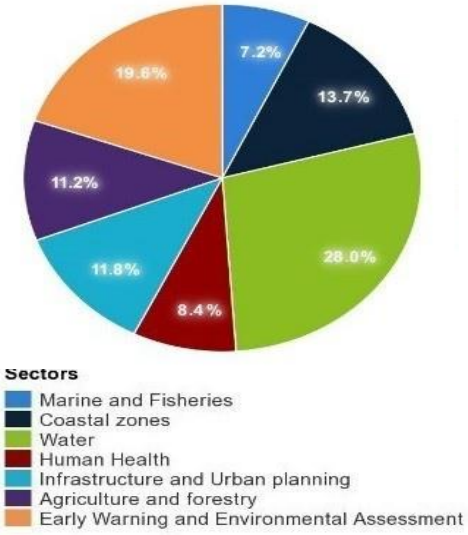
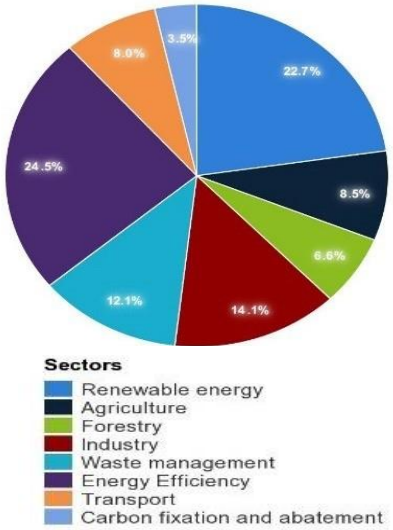


Figure 14
Mitigation sector expertise (Source: https://www.ctc-n.org/technical-assistance/data)



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

[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.

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 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]

[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

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

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.

Development of processes and procedures

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

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.

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

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 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

[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 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.

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]

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

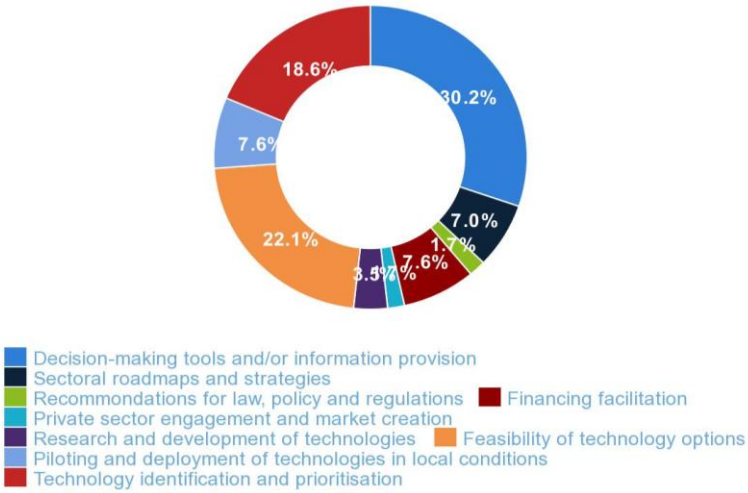
102. The Programme of Work of the CTCN provides indicative outcome targets only for the fifth year of implementation in order to take into account the necessary delay between the implementation of any activity and its long term effect.

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.

[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.

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 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]

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

Outcomes indicators[a]	*Targets for the 5th year of implementation (2017)*	*Achievements by the end of 2016*
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.

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.

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

[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

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]

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]

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.

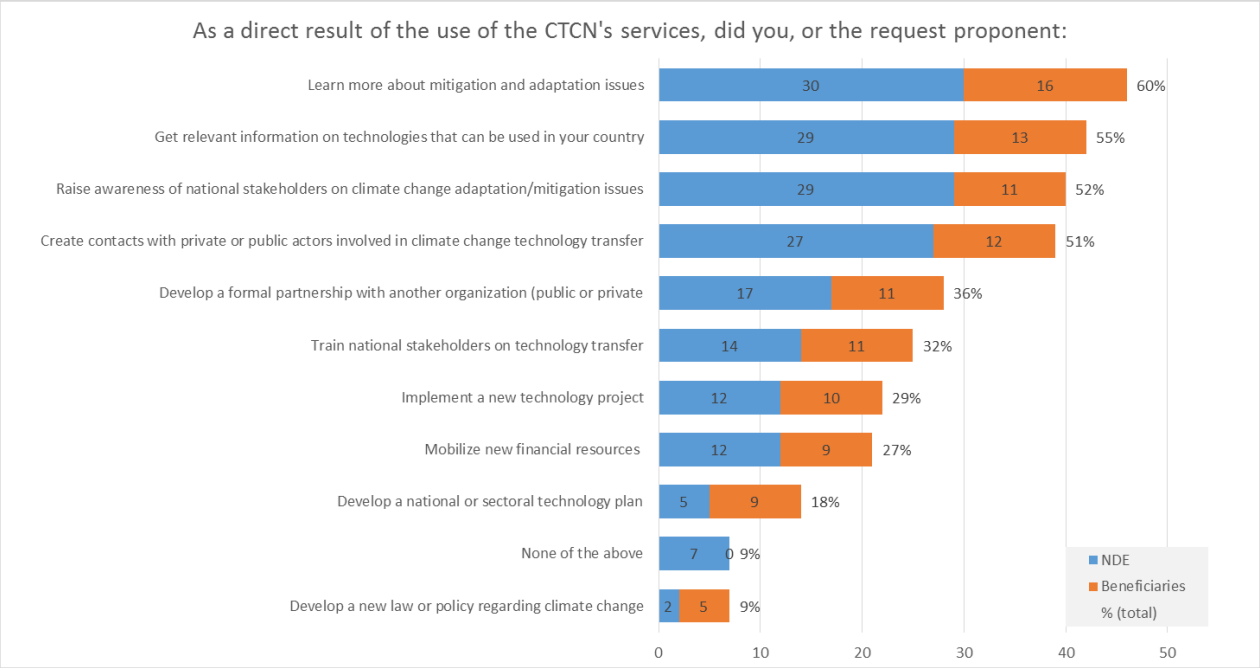
[81] This workshop aimed at enabling NDEs to formulate requests that will be applicable and useful to the local business sector, by bringing together NDEs, project developers and other relevant stakeholders.

[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).

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

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

[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.

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 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

[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 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).

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.