



Conferencia de las Partes

23^{er} período de sesiones

Bonn, 6 a 17 de noviembre de 2017

Tema 8 b) del programa provisional

**Desarrollo y transferencia de tecnologías
y aplicación del Mecanismo Tecnológico:**

**Examen del funcionamiento efectivo del
Centro y Red de Tecnología del Clima**

**Informe sobre el examen independiente del funcionamiento
efectivo del Centro y Red de Tecnología del Clima**

Resumen

El presente informe contiene los resultados del examen independiente del funcionamiento efectivo del Centro y Red de Tecnología del Clima (CRTC). En él se describe con detalle la trayectoria del CRTC en los cuatro años transcurridos desde su creación, en particular su puesta en marcha y la prestación de sus servicios básicos. Además, se ofrecen los resultados principales de cada una de las esferas evaluadas (pertinencia, eficacia, eficiencia, efectos y sostenibilidad), las conclusiones del examen y las recomendaciones para mejorar el desempeño del CRTC.



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I. Introducción

A. Mandato

1. La Conferencia de las Partes (CP), en su 16º período de sesiones, estableció el Mecanismo Tecnológico¹ con el objetivo de intensificar la labor relativa al desarrollo y la transferencia de tecnología para el clima. El mecanismo consta de dos órganos: el Comité Ejecutivo de Tecnología (CET), que se ocupa de las cuestiones de política, y el Centro y Red de Tecnología del Clima (CRTC), que es su órgano de ejecución.

2. La CP, en su 17º período de sesiones, acordó las disposiciones necesarias para que el Mecanismo Tecnológico estuviera en pleno funcionamiento para 2012 y aprobó el mandato del CRTC² y el proceso de selección de la organización anfitriona del Centro de Tecnología del Clima (CTC)³. También pidió a la secretaría que, con sujeción a la disponibilidad de recursos, encargara un examen independiente del funcionamiento efectivo del CRTC cuatro años después de su creación. Los resultados del examen, incluidas las recomendaciones formuladas para mejorar el desempeño del CRTC, se someterán al examen de la CP. Ulteriormente, se realizarán exámenes periódicos independientes de la eficacia del CRTC cada cuatro años⁴.

3. Tras un proceso de licitación conforme a los reglamentos de las Naciones Unidas, la secretaría eligió a Ernst and Young et Associés (en adelante, el consultor) para llevar a cabo el examen independiente del funcionamiento efectivo del CRTC.

B. Medidas que podría adoptar la Conferencia de las Partes

4. Se invitará a la CP a examinar las conclusiones y recomendaciones derivadas del examen independiente de la actuación efectiva del CRTC, y a determinar si deberían adoptarse medidas para mejorar el desempeño del CRTC.

II. Resumen

A. Antecedentes del examen

5. La CP, en su 17º período de sesiones, pidió a la secretaría que, con sujeción a la disponibilidad de recursos, encargara un examen independiente del funcionamiento efectivo del CRTC cuatro años después de su creación. Las conclusiones del examen, incluidas las recomendaciones formuladas para mejorar el desempeño del CRTC, se someterán al examen de la CP.

6. Tras un proceso de licitación conforme a los reglamentos de las Naciones Unidas, la secretaría eligió a Ernst and Young et Associés para llevar a cabo el examen independiente del funcionamiento efectivo del CRTC.

7. El CRTC ofrece tres servicios básicos: 1) la prestación de asistencia técnica a petición de los países en desarrollo; b) la creación de acceso a información y conocimientos sobre las tecnologías para el clima; y 3) la organización de actividades de divulgación y creación de redes de contactos entre los interesados en la tecnología para el clima.

8. Un componente clave del CRTC es su Red. A través de la Red, el CRTC recaba la participación de los interesados en apoyo de sus tres servicios básicos.

¹ Decisión 1/CP.16, párr. 117.

² Decisión 2/CP.17, párr. 133.

³ Decisión 2/CP.17, párr. 136.

⁴ Decisión 2/CP.17, anexo VII, párr. 20.

9. Las actividades del CRTC se llevan a cabo con la asistencia de las entidades nacionales designadas (END), que actúan como centros de coordinación para los interesados nacionales y el CRTC. Las END prestan apoyo a las actividades del CRTC en los países tramitando las solicitudes nacionales de asistencia técnica (para los países en desarrollo), facilitando la participación en la Red y coordinando el aprendizaje entre pares, la colaboración, la presentación de informes y la retroalimentación a nivel regional y mundial.

B. Logros del Centro y Red de Tecnología del Clima

10. Al mes de abril de 2017 el CRTC había recibido 181 solicitudes de asistencia técnica, de las cuales 13 se habían ultimado, 49 estaban en fase de ejecución, 40 se encontraban en fase de diseño, 29 estaban siendo examinadas y 50 se encontraban inactivas.

11. Mediante sus instrumentos de comunicación y su sistema de gestión de los conocimientos, el CRTC proporciona información sobre sus actividades y las tecnologías para el clima. A diciembre de 2016, el sitio web contaba con 10.768 recursos de información de diversas fuentes, incluidos miembros de la Red. El CRTC había ofrecido 75 seminarios web para más de 2.200 participantes.

12. Entre 2013 y 2016, el CRTC celebró 21 talleres y foros regionales para capacitar a las END, con el objetivo de garantizar una corriente sostenida de solicitudes de alta calidad de los países en desarrollo. Asistieron unos 650 participantes, entre ellos representantes de las END de más de 134 países. El CRTC también organizó tres foros de interesados para colaborar con el sector privado.

13. En particular, el CRTC brindó apoyo a las END de los países menos adelantados (PMA) a través de su Programa Incubadora, proporcionando capacitación específica e intensiva. A marzo de 2017 habían participado 19 países, y se habían presentado 14 solicitudes de asistencia técnica.

C. Resultados del examen

1. Pertinencia

14. El Programa de las Naciones Unidas para el Medio Ambiente (PNUMA), en colaboración con la Organización de las Naciones Unidas para el Desarrollo Industrial (ONUDI), ha diseñado una estructura organizativa y presta apoyo administrativo y de infraestructura al equipo central del CRTC. El PNUMA y la ONUDI, con la ayuda del equipo central, han atendido de manera satisfactoria al mandato encomendado por la CP al CRTC. Este último responde a las necesidades de los países en desarrollo, y ha demostrado su valor añadido en el ecosistema mundial de organizaciones de apoyo a la tecnología para el clima. Los beneficiarios de los servicios del CRTC han mostrado un alto grado de satisfacción; agradecen su intensa labor de base, así como su capacidad de respuesta y su asistencia adaptada.

15. El CRTC promovió las sinergias con las instituciones financieras, como el Fondo para el Medio Ambiente Mundial (FMAM) y el Fondo Verde para el Clima (FVC), y con los asociados técnicos para evitar la duplicación y aumentar el impacto de sus actividades.

2. Eficacia

16. El CRTC consiguió los resultados previstos en las esferas de la gestión de conocimientos, el aprendizaje entre pares y el fomento de la capacidad, superándolos en algunos casos. Sin embargo, no pudo alcanzar sus metas para los proyectos de asistencia técnica y las actividades de creación de redes de contactos, como se ilustra a continuación:

a) Las respuestas y los proyectos de asistencia técnica ejecutados por el CRTC no llegaron a la cifra prevista, pero atendieron de forma satisfactoria a las demandas de las END y de los beneficiarios.

b) El sistema de gestión de los conocimientos apoyó eficazmente la ejecución de las operaciones y actividades del CRTC.

c) El número de actividades de fomento de la capacidad realizadas fue el que se había previsto, y las actividades ayudaron a las END a seleccionar y presentar las solicitudes pertinentes. Las END destacaron con reconocimiento el apoyo activo que les había brindado el CRTC.

d) El CRTC alcanzó parcialmente sus metas para las actividades de divulgación, creación de redes de contactos y participación de los interesados. Se dio prioridad a la puesta en funcionamiento de los servicios de asistencia técnica y al empoderamiento de las END, lo que dio lugar a una participación más limitada de otros interesados y de los miembros de la Red.

17. La falta de previsibilidad y seguridad con respecto a los recursos financieros afectó significativamente la capacidad del CRTC para prestar servicios al nivel esperado, como también lo hicieron la falta de recursos humanos y organizativos del CRTC y la falta de capacidad de las END.

3. Eficiencia

18. La asociación entre el PNUMA y la ONUDI y la organización descentralizada de los asociados del consorcio han sido un factor valioso para fomentar la eficiencia en la puesta en marcha de las actividades del CRTC. El consorcio presenta una buena combinación de conocimientos técnicos centrales y regionales y tiene una cobertura mundial. La orientación proporcionada por la Junta Consultiva del CRTC lo ha ayudado a asegurar su eficiencia operativa.

19. El CRTC ha priorizado con eficiencia sus actividades y ha asignado sus recursos de manera pragmática. Ha tenido en cuenta la evolución del contexto externo en lo relativo a las finanzas, las necesidades expresadas por los países en desarrollo y la orientación política.

20. Se han determinado ámbitos en los que cabría mejorar para reducir los retrasos en la ejecución de los proyectos de asistencia técnica. Estos retrasos se explican principalmente por: 1) la falta de recursos y las deficiencias de la gobernanza a nivel local, que hacen que las END de los países en desarrollo no siempre puedan cumplir su función de la forma más eficiente; 2) la multiplicidad de interesados que participan en el proceso y en la adopción de decisiones; y 3) y los limitados recursos humanos del equipo central y los asociados del consorcio del CRTC.

4. Efectos y sostenibilidad

21. Ya se ha informado, si bien en forma cualitativa, de algunos efectos concretos de las actividades del CRTC (por ejemplo, el diseño de leyes y políticas energéticas, la definición de hojas de ruta para el desarrollo y la transferencia de tecnologías del clima). El CRTC demostró su capacidad para iniciar proyectos que podrían beneficiarse de financiación en mayor escala por parte del Mecanismo Financiero o de los bancos multilaterales de desarrollo (BMD).

22. El carácter novedoso del CRTC y la naturaleza de sus actividades, que son el primer paso de transformaciones más amplias y a más largo plazo, también explican que haya sido difícil hasta la fecha evaluar los efectos del CRTC en la mitigación del cambio climático y la adaptación a este, ya que esos efectos se materializarán varios años después de haberse prestado la asistencia técnica. Además, por el momento el marco de vigilancia y evaluación del CRTC no está adaptado para captar los efectos de sus servicios a nivel macro.

23. Los interesados señalan que es probable que el CRTC contribuya a resultados positivos no previstos, como el desarrollo local, la protección del medio ambiente y la incorporación de la perspectiva de género.

D. Recomendaciones

24. El consultor ha formulado varias recomendaciones para mejorar el desempeño del CRTC (véase el capítulo V.C *infra*). Esas recomendaciones se refieren a aspectos relacionados con la gobernanza y la organización del CRTC, su financiación, sus tres servicios básicos y la labor de vigilancia, evaluación y presentación de informes.

III. Metodología del examen

25. El consultor (véase el párrafo 3 *supra*) organizó el trabajo en torno a cuatro esferas de evaluación:

a) **Pertinencia.** ¿Son la estrategia y los recursos del CRTC pertinentes y apropiados para las prioridades del mandato encomendado por la CP y las necesidades de apoyo de los países? Esta pregunta estudia la coherencia del marco de acción del CRTC, diseñado y ejecutado por el PNUMA y la ONUDI, así como su coherencia con respecto al contexto externo.

b) **Eficacia.** ¿Se han logrado los objetivos del CRTC en relación con sus tres servicios básicos? Esta pregunta se centra en la evaluación de los servicios y productos suministrados por el CRTC, en comparación con sus objetivos y metas y teniendo en cuenta las condiciones del funcionamiento en la práctica.

c) **Eficiencia.** ¿Se han logrado los objetivos del CRTC con una utilización óptima de los recursos y en tiempo oportuno en lo que se refiere al establecimiento del CRTC y el despliegue de sus servicios? Esta pregunta se centra en la evaluación de la puesta en funcionamiento del CRTC, en comparación con los planes iniciales y determinando las dificultades encontradas y los factores de éxito.

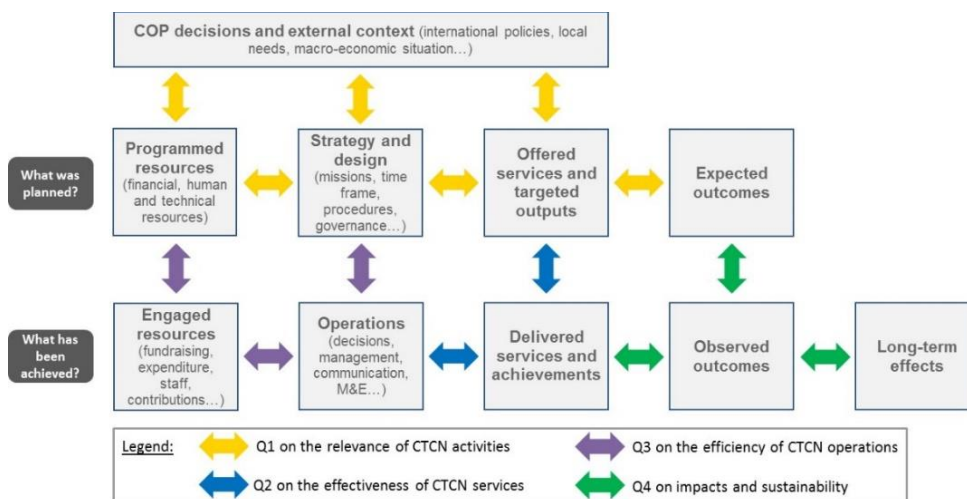
d) **Efectos y sostenibilidad.** ¿Alcanzó el CRTC sus resultados previstos y generó efectos positivos, replicables y a largo plazo? Esta pregunta tiene por objeto determinar los resultados observados y compararlos con los previstos, y evaluar la probabilidad de que surjan efectos positivos a largo plazo, así como la replicabilidad de su impacto.

26. Para cada una de esas preguntas, el consultor elaboró una red de evaluación en la que se detallan subpreguntas, así como los indicadores y las fuentes de datos que deben emplearse para responder a las preguntas (véase el anexo IV).

27. En el gráfico 1 se muestra el alcance de cada pregunta de evaluación, así como la relación entre las preguntas.

Gráfico 1

Evaluation framework for the review



Source: Ernst and Young et Associés.

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

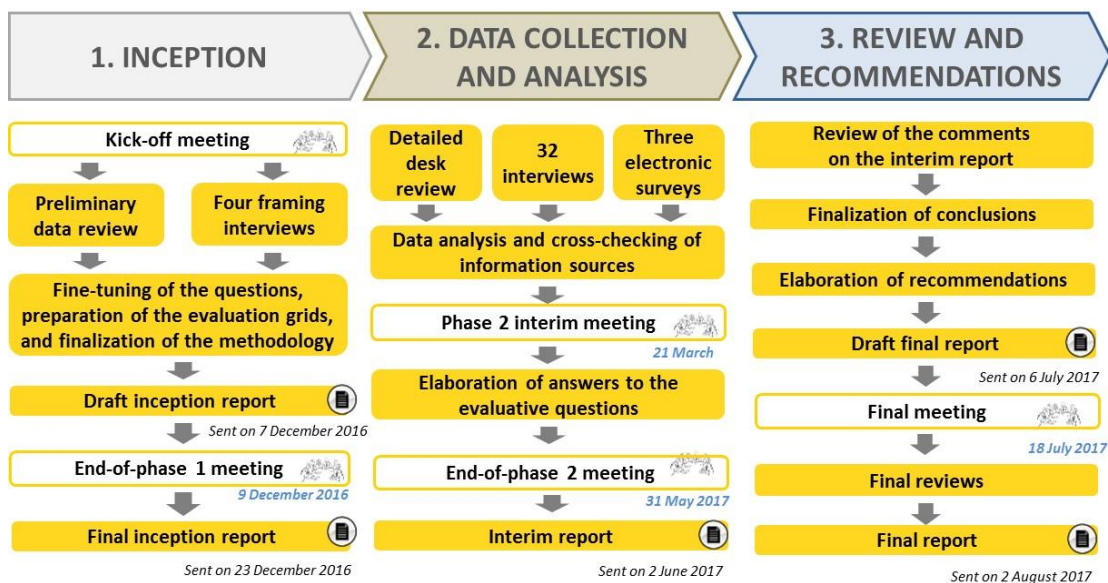
28. El consultor elaboró la siguiente metodología para llevar a cabo el examen independiente:

- a) Fase inicial;
- b) Fase de reunión y análisis de datos, incluidas las actividades siguientes:
 - i) Un amplio examen de la documentación, en particular sobre la estrategia, la gobernanza, las operaciones, los servicios y los resultados del CRTC (véase el anexo V);
 - ii) Entrevistas con 36 interesados del CRTC, a saber, la secretaría, el Director del CRTC, personal del CRTC del PNUMA y la ONUDI, los donantes, miembros y exmiembros de la Junta Consultiva del CRTC, el consorcio y asociados estratégicos, miembros de la Red, las END y los beneficiarios de la asistencia técnica (véase el anexo VI);
 - iii) Tres encuestas electrónicas con la participación de 71 END, 121 miembros de la Red y participantes en eventos del CRTC, y 39 beneficiarios de la asistencia técnica (véase el anexo VII);
 - iv) La participación en la novena reunión de la Junta Consultiva, celebrada del 3 al 5 de abril de 2017, con fines de observación;
- c) Fase de examen y recomendaciones.

29. En el gráfico 2 se detalla el enfoque metodológico del examen. El trabajo se realizó entre octubre de 2016 y agosto de 2017.

Gráfico 2

Methodological approach for the review



Source: Ernst and Young et Associés.

IV. Centro y Red de Tecnología del Clima

A. Antecedentes y mandato

30. El Mecanismo Tecnológico, que comprende el CET y el CRTC, fue establecido en la CP 16 (véase el párrafo 1 *supra*). Con arreglo al mandato que le había encomendado⁵, la CP puso en funcionamiento al CRTC en decisiones posteriores, en las que se especificaban su estructura y los servicios que proporcionaría, como se indica a continuación:

⁵ Decisión 1/CP.16, párr. 123.

a) En la CP 17 se aprobó el mandato del CRTC, en el que se establecen los principios rectores relativos a su misión, gobernanza y estructura organizativa⁶.

b) En la CP 18 se eligió al PNUMA, dirigente del consorcio de instituciones asociadas, como organización anfitriona del CTC por un período inicial de cinco años, que se podría renovar si así lo decidiera la CP en su 23^{er} período de sesiones (noviembre de 2017)⁷. Un memorando de entendimiento, aprobado por la CP en su 18^o período de sesiones⁸ y firmado por el PNUMA, formalizó el papel y las funciones de la CP, el PNUMA, el CRTC y los asociados del consorcio, así como los arreglos financieros para acoger el CTC.

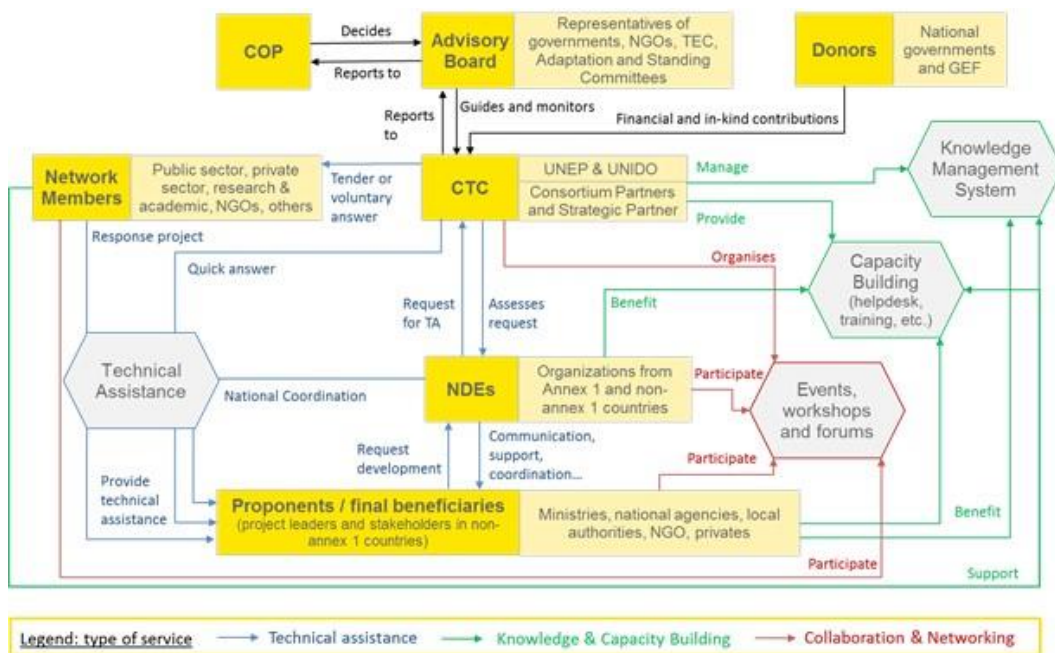
c) En la CP 19 se aprobaron las modalidades y los procedimientos del CRTC⁹, lo que permitió que este iniciara efectivamente su labor y sus actividades. En el anexo I de esa misma decisión se definen las funciones y responsabilidades del CRTC, sus vínculos con el CET, sus modalidades de intercambio de información y conocimientos y los tres servicios básicos que se prestarían.

B. Estructura

31. En el gráfico 3 se muestra la estructura orgánica general del CRTC. Los principales interesados e instituciones que participan en la gobernanza y las operaciones del CRTC se describen a continuación.

Gráfico 3

Organizational structure of the Climate Technology Centre and Network



Source: Ernst and Young et Associés, based on data from the Climate Technology Centre and Network.

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

⁶ Decisión 2/CP.17, párr. 133.

⁷ Decisión 14/CP.18, párr. 2.

⁸ Decisión 14/CP.18, párr. 3.

⁹ Decisión 25/CP.19, párr. 2.

1. Junta Consultiva

32. La Junta Consultiva del CRTC, establecida en la CP 18¹⁰, proporciona orientación, aprueba los procedimientos, informes y programas de trabajo, refrenda el presupuesto y los estados financieros, y supervisa y evalúa la oportunidad e idoneidad de las respuestas del CRTC a las solicitudes¹¹. La constitución de la Junta Consultiva¹² se acordó en la CP 18.

2. Centro de Tecnología del Clima

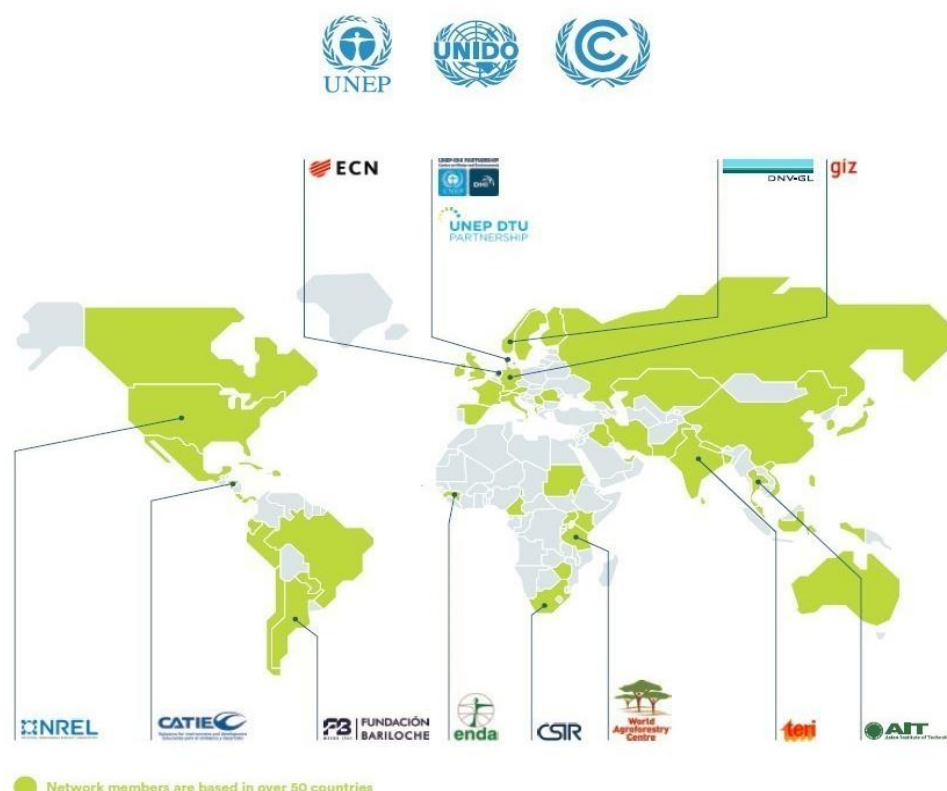
33. El CTC es administrado por el PNUMA en colaboración con la ONUDI, con el apoyo de un consorcio de 11 organizaciones asociadas (como se indica en el gráfico 4). El CTC se encarga de la coordinación y la prestación de los servicios del CRTC.

34. Las condiciones de la colaboración entre el PNUMA y la ONUDI y los miembros del consorcio se definen en sendos memorandos de entendimiento. El CRTC no se gestiona como una institución independiente, sino como un proyecto del PNUMA y la ONUDI, y está vinculado a diversos procesos dentro de esas dos organizaciones.

35. La CP, en su 18º período de sesiones¹³, alentó al PNUMA a nombrar a un director del CTC y a su personal. Cinco administradores del cuadro orgánico y dos funcionarios administrativos están ubicados en las oficinas de las Naciones Unidas en Copenhague. Cuentan con el apoyo de consultores (regionales y expertos técnicos) y de recursos humanos del PNUMA y la ONUDI (incluido un coordinador de cada organización).

Gráfico 4

Geographical coverage of the consortium partners of the Climate Technology Centre



Source: CTCN 2016 progress report. Available at <https://www.ctc-n.org/sites/www.ctc-n.org/files/ctcn-ar16-bookcover-lowres.pdf>.

¹⁰ Decisión 14/CP.18, párr. 5.

¹¹ Decisión 2/CP.17, anexo VII, párr. 9.

¹² Decisión 14/CP.18, anexo II.

¹³ Decisión 14/CP.18, párr. 9.

3. Red

36. Un componente clave del CRTC es su Red. La Red tiene como objetivo lograr la participación de diversos interesados que puedan apoyar las actividades del CRTC mediante¹⁴: 1) la prestación de asistencia técnica que corresponda a sus conocimientos especializados en respuesta a las solicitudes de los países; 2) el intercambio de información y el suministro de expertos para seminarios web, cursos de aprendizaje electrónico y otros tipos de formación a través del sistema de gestión de los conocimientos; y 3) la contribución activa a los eventos y actividades del CRTC.

37. La pertenencia a la Red es gratuita. Desde su puesta en marcha, la Red ha crecido de forma exponencial. A marzo de 2017 pertenecían a la Red 265 organizaciones de 64 países, con las siguientes características¹⁵:

a) El 46% están registradas en países que son Partes incluidas en el anexo I de la Convención, el 50% lo están en países que son Partes no incluidas en el anexo I de la Convención, y el 4% restante son organizaciones internacionales;

b) Los miembros de la Red tienen conocimientos especializados en los sectores seleccionados por el CRTC, y hay más miembros activos en la mitigación (229) que en la adaptación (161);

c) Las organizaciones del sector privado son las más numerosas (35%), seguidas de las organizaciones académicas y de investigación (24%), las organizaciones no gubernamentales (14%), las organizaciones sin fines de lucro (10%) y las organizaciones del sector público (10%). Forman parte de la Red 15 organizaciones internacionales, organizaciones regionales y asociaciones.

4. Entidades nacionales designadas

38. Las END¹⁶ son intermediarios entre los interesados nacionales pertinentes y el CRTC. Este último actúa teniendo en cuenta la titularidad local y nacional y atendiendo a las necesidades determinadas por los países, y el establecimiento de una END por la Parte interesada es un paso necesario para participar en el proceso del CRTC. Al mes de abril de 2017, había 157 END de países desarrollados y en desarrollo. Las END actúan como centros de coordinación para las actividades del CRTC en su país y coordinan las solicitudes de los ministerios pertinentes, de otros mecanismos de la Convención Marco, del sector privado, de la sociedad civil y del mundo académico. Las END prestan apoyo a las actividades del CRTC tramitando las solicitudes nacionales de asistencia técnica (para los países en desarrollo), facilitando la participación en la Red, y coordinando el aprendizaje entre pares, la colaboración, la presentación de informes y la retroalimentación a nivel regional y mundial.

C. Servicios

39. El PNUMA y la ONUDI se han encargado de traducir los mandatos de la CP en actividades operacionales. El programa de trabajo inaugural —quinquenal— del CRTC para el período 2013-2017¹⁷ fue aprobado por la Junta Consultiva en 2013. En él se detallan las operaciones, los servicios, las actividades, el calendario y el presupuesto del CRTC.

40. En el programa de trabajo, la visión del CRTC se definía como sigue: “Los países en desarrollo que son Partes en la Convención han adquirido la capacidad, las herramientas y los conocimientos necesarios para desarrollar y ampliar la tecnología para la mitigación y la adaptación al cambio climático”.

¹⁴ Véase el documento AB/2015/5/9 de la Junta Consultiva del CRTC.

¹⁵ <https://www.ctc-n.org/network/network-visualizations>.

¹⁶ <http://unfccc.int/ttclear/support/national-designated-entity.html>.

¹⁷ CRTC. 2013. *Draft Programme of Work: Climate Technology Centre and Network*. Se puede consultar en <https://www.ctc-n.org/sites/www.ctc-n.org/files/f2137b4434244bdeafe3a24bad2c5273.pdf>.

41. Además, se definían los tres servicios básicos del CRTC: 1) la prestación de asistencia técnica a petición de los países en desarrollo; 2) la creación de acceso a información y conocimientos sobre las tecnologías para el clima; y 3) la organización de actividades de divulgación y creación de redes de contactos entre los interesados en la tecnología para el clima. Estos servicios básicos han evolucionado ligeramente con el tiempo.

42. El programa de trabajo se estructuró sobre la base de una financiación prevista de 100 millones de dólares para los primeros cinco años de funcionamiento (véase el cuadro 1).

Cuadro 1

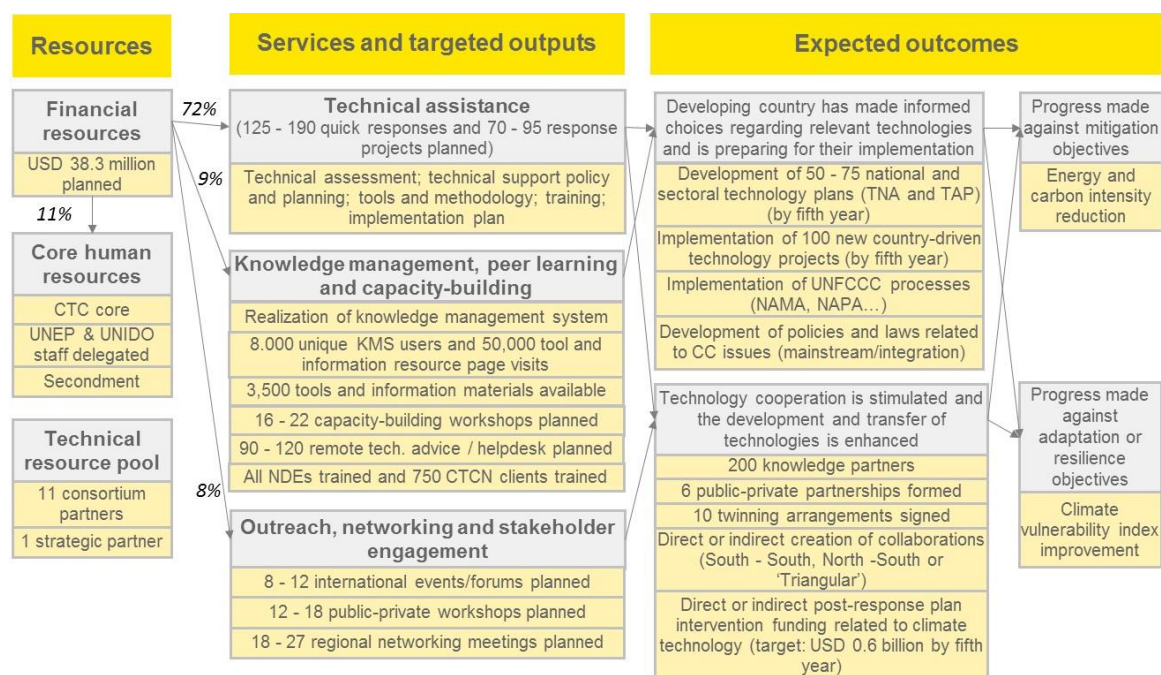
Financiación indicativa

<i>Componente/subcomponente/producto</i>	<i>Costo estimado (en dólares EE.UU.)</i>
Asistencia técnica en respuesta a las solicitudes de los países	75 500 000
Divulgación, creación de redes de contactos y participación del sector privado	7 000 000
Gestión de los conocimientos, aprendizaje entre pares y fomento de la capacidad	7 250 000
Gastos de establecimiento y funcionamiento	10 250 000
Total	100 000 000

43. El CRTC utilizó el programa de trabajo 2013-2017 para preparar planes operativos anuales, que fueron aprobados por la Junta Consultiva. Estos planes anuales proporcionan metas cuantitativas para los productos y los resultados de las operaciones del CRTC. En el gráfico 5 se presenta el marco lógico de los tres primeros años de funcionamiento, con un presupuesto provisional de 38,3 millones de dólares de los Estados Unidos: el 11% para la financiación de las operaciones del CRTC y el 89% para los servicios básicos. El CRTC ha definido metas, en términos de productos, para cada actividad. También se han determinado y cuantificado los resultados directos de los productos. Los efectos que pretende generar en definitiva el CRTC se reflejan en la parte derecha del gráfico 5.

Gráfico 5

Intervention logic, with cumulative targets for the first three years of operation



Source: Ernst and Young et Associés, based on data from the CTCN.

Note: Except when noted otherwise, values are cumulated resources and outputs in the third year of implementation as based on the first three annual operating plans. This intervention logic has been revised by the consultant and is different from the logical framework contained in the programme of work.

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

44. En el anexo VIII se ofrecen más detalles sobre los progresos alcanzados por el CRTC en la prestación de sus tres servicios básicos.

D. Financiación y gastos

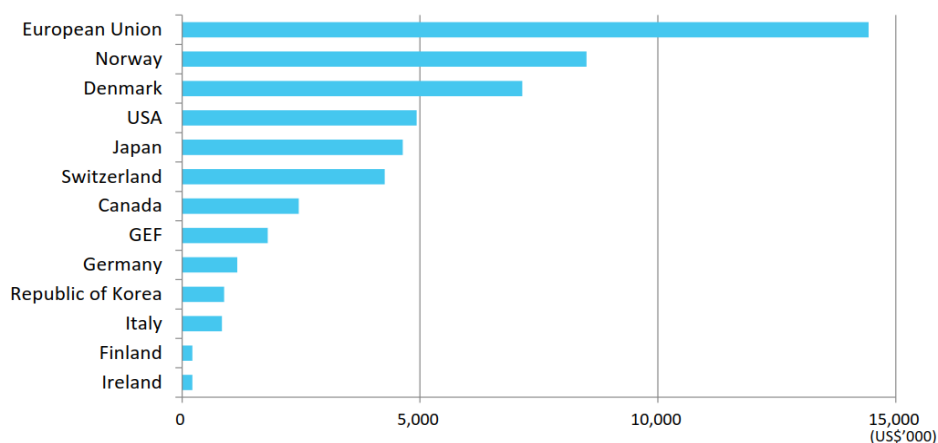
45. El CRTC solicitó financiación de conformidad con la decisión 2/CP.17. A septiembre de 2014, había conseguido 26,6 millones de dólares de los Estados Unidos¹⁸. En los dos años siguientes, se obtuvieron 4,3 millones de dólares¹⁹. En junio de 2015 se obtuvieron 1,8 millones de dólares del FMAM. Además, el PNUMA, la ONUDI y los asociados del consorcio aportaron contribuciones financieras y en especie por valor de más de 5,8 millones de dólares²⁰.

46. A marzo de 2017, la mayor parte de la financiación obtenida por el CRTC (49,6 millones de dólares) procedía de donantes bilaterales. Durante la CP 22, las Partes prometieron una aportación de 23 millones de dólares, y a marzo de 2017 se habían concertado acuerdos con los donantes por valor de 20,5 millones de dólares.

47. Para abril de 2017, el CRTC se encontraba en conversaciones con los Gobiernos del Canadá y de los Estados Unidos de América para los 2,5 millones de dólares restantes. En el gráfico 6 se ofrece un panorama general de las contribuciones de los donantes del CRTC.

Gráfico 6

Donor contributions



Source: CTCN Advisory Board document AB/2017/9/8.1.

Note: As at March 2017. Includes donor agreements.

48. El 44% de los fondos del CRTC han sido reservados por los donantes para actividades o regiones específicas²¹. La suma total gastada por el CRTC durante los tres primeros años de funcionamiento (de 2014 a 2016, incluidos los últimos meses de 2013) es de 25,6 millones de dólares de los Estados Unidos.

¹⁸ Véase el documento FCCC/SB/2014/3.

¹⁹ Véase el documento FCCC/SB/2016/1.

²⁰ Véase el documento FCCC/SB/2013/1. Desde 2014, se han aportado otras contribuciones en especie sin que se haya hecho un seguimiento.

²¹ Véase el documento AB/2017/9/8.1 de la Junta Consultiva del CRTC.

E. Vigilancia y evaluación

49. Diversas decisiones de la CP requieren que la Junta Consultiva y el propio CRTC vigilen y evalúen las actividades de este último²². La supervisión financiera del CRTC se realiza a través de los mecanismos de presentación de informes financieros del PNUMA y la ONUDI. La vigilancia de las actividades de asistencia de carácter no técnico y el cálculo de los indicadores relativos a los servicios del CRTC basados en conocimientos se han detallado mediante los procedimientos que se presentaron inicialmente en la séptima reunión de la Junta Consultiva, y que se han actualizado posteriormente²³. La vigilancia de las actividades de asistencia técnica y el cálculo de los indicadores relativos a los servicios de asistencia técnica del CRTC se han detallado mediante los procedimientos que se presentaron inicialmente en la quinta reunión de la Junta Consultiva y se aprobaron en su sexta reunión²⁴. Para 2017 se han previsto un examen de la calidad y la eficacia de toda la cartera y un examen sistemático del marco de vigilancia y evaluación. En su calidad de asociado estratégico, DNV GL²⁵ ayudó al PNUMA y la ONUDI a diseñar este sistema de vigilancia y evaluación.

V. Principales resultados, conclusiones y recomendaciones del examen

A. Principales resultados

50. Los principales resultados, que se presentan a continuación, surgieron de las aportaciones de las diversas categorías de interesados, contrastadas con datos obtenidos de estudios teóricos (para más información sobre el proceso de examen, véanse el capítulo III *supra* y los anexos V, VI, VII y VIII). Estos resultados se basan en el examen detallado del desempeño del CRTC, que figura en el anexo IX. Constituyen las conclusiones extraídas por el consultor a partir de las respuestas a las preguntas de la evaluación definidas durante la fase inicial del examen (véanse el párrafo 26 *supra* y el anexo IV).

1. Pertinencia

51. Todos los participantes en el examen reconocieron el valor añadido del CRTC en lo que respecta al apoyo prestado a los países en desarrollo en el proceso de acceso a los fondos internacionales y en la creación de un entorno propicio adecuado, a pesar de la existencia de múltiples donantes y proveedores de asistencia técnica para el desarrollo y la transferencia de tecnología sobre el cambio climático.

52. En general, las actividades del CRTC responden a las necesidades de los países en desarrollo, que aprecian su intensa labor de base y su capacidad de respuesta y de asistencia adaptada. A petición de la Junta Consultiva, el CRTC también formalizó la referencia a los planes nacionales y las contribuciones determinadas a nivel nacional (CDN) en el formulario de solicitud de asistencia técnica para asegurar que los países legitimaran sus solicitudes en relación con las prioridades indicadas en los documentos nacionales²⁶.

53. El programa de trabajo del CRTC para 2013-2017 concuerda con el mandato de la CP. Los planes operativos anuales también están en consonancia con el mandato, así como

²² Véanse la decisión 2/CP.17, anexo VII, y la decisión 25/CP.19, anexo I.

²³ Junta Consultiva del CRTC, documento AB/2016/8/7.6. Se puede consultar en https://www.ctc-n.org/sites/www.ctc-n.org/files/ab20168_7.6_mande_process_and_procedures_v2_from_ab7.pdf.

²⁴ Junta Consultiva del CRTC, documento AB/2015/6/7b.

²⁵ DNV GL era uno de los candidatos preseleccionados por la Convención Marco para acoger el CRTC. Tras la selección del PNUMA como anfitrión, la CP alentó al consorcio a colaborar con otros licitadores. A raíz de ello, el consorcio estableció una alianza estratégica con DNV GL.

²⁶ CRTC. 2015. *Key Discussion Points of the Fifth Advisory Board Meeting*. Se puede consultar en https://www.ctc-n.org/sites/www.ctc-n.org/files/resources/AB%205_Key%20discussion%20points%20v1.5%20final_0.pdf.

con las sucesivas decisiones de la CP que afectan al funcionamiento del CRTC. Este último ha atendido a las decisiones de la CP como se indica a continuación:

a) Tras la entrada en vigor del Acuerdo de París, el CRTC ha incorporado temas como las CDN, la investigación, el desarrollo y la demostración y las capacidades endógenas en su plan operativo anual para 2017.

b) El CRTC prosiguió sus esfuerzos para mejorar su colaboración con el CET²⁷ mediante reuniones de la Junta Consultiva, informes anuales conjuntos y otros medios, si bien los entrevistados indicaron durante el examen que dicha colaboración podría reforzarse más aún.

c) Para mejorar la cooperación y la colaboración con las entidades encargadas del funcionamiento del Mecanismo Financiero²⁸, desde 2016 el CRTC ha venido desarrollando una alianza con el FVC en cuyo contexto las actividades de asistencia técnica y fomento de la capacidad del CRTC favorecen la elaboración de notas conceptuales que se presentan al FVC y refuerzan la colaboración con las entidades de coordinación del FVC (las autoridades nacionales designadas (AND)). Esa colaboración permite aportar recursos financieros adicionales, y los proyectos de asistencia técnica que determine el CRTC se financiarán a través de los fondos del FVC destinados a la preparación de los países²⁹.

d) Más que constituir una financiación sostenida, los recursos financieros proporcionados por el FMAM para las operaciones del CRTC se han basado en proyectos especiales y, por lo tanto, han sido bastante limitados (1,8 millones de dólares de los Estados Unidos). El FMAM ha elaborado y financia una red de centros regionales de tecnología del clima acogidos por los BMD (Banco Africano de Desarrollo, Banco Asiático de Desarrollo, Banco Europeo de Reconstrucción y Desarrollo y Banco Interamericano de Desarrollo) y que ofrecen servicios similares. Algunos representantes de esos centros regionales han participado en talleres de las END y otras reuniones del CRTC³⁰. La colaboración entre los centros regionales de Asia y América y las END y los asociados del consorcio del CRTC está bien desarrollada y formalizada, pero la cooperación con los centros regionales de Europa y África ha sido más limitada.

54. Se han llevado a cabo la mayoría de las actividades descritas en el programa de trabajo inicial para 2013-2017, aunque no todas (por ejemplo, no lo ha sido el desarrollo de un servicio de ayuda a los usuarios). El CRTC puso en marcha algunas actividades que no estaban previstas en ese programa, como el Programa Incubadora para los PMA, los programas de adscripción y la organización de seminarios web. Estos cambios en el programa fueron aprobados por la Junta Consultiva, y los interesados los consideraron pertinentes.

55. Durante el examen, la mayoría de los entrevistados indicaron que el modelo de financiación del CRTC, basado en contribuciones voluntarias, no era apropiado porque limitaba la ejecución y el cumplimiento de su mandato. Se señaló que la falta de financiación ponía en peligro las operaciones del CRTC³¹. La escasez de recursos financieros había sido el principal obstáculo para el cumplimiento de las metas establecidas en el programa de trabajo inicial, en particular en lo que respectaba a los proyectos de asistencia técnica. A marzo de 2017, 31 solicitudes admisibles no se habían priorizado debido a la falta de financiación³². Sin fuentes de financiación adicionales, el CRTC no podrá seguir prestando sus servicios de manera acorde a las expectativas crecientes de los países en desarrollo.

²⁷ Decisiones 25/CP.19, 1/CP.21, 12/CP.21, 13/CP.21 y 15/CP.22.

²⁸ Véase la decisión 13/CP.21, párr. 7.

²⁹ A julio de 2017 se habían aceptado dos proyectos de asistencia técnica, en Tonga y Ghana; uno de ellos está siendo analizado por el FVC, y el otro se presentará en breve.

³⁰ Véase el documento FCCC/CP/2016/6.

³¹ Véase el documento FCCC/SB/2016/1.

³² Se desconoce la distribución de las solicitudes que no se priorizaron debido a la falta de fondos o a que el país interesado ya había presentado un número considerable de solicitudes.

56. El carácter voluntario del modelo de financiación se traduce en una falta de previsibilidad para el CRTC a mediano e incluso a corto plazo, lo que limita su capacidad de planificar con antelación los niveles de actividad previstos.

57. Otro problema es que una proporción importante (el 44%) de los recursos financieros del CRTC están reservados para fines específicos y ya no pueden alinearse con las prioridades actuales del CRTC. El 12% de los recursos están dedicados a una zona o a actividades específicas (por ejemplo, una biblioteca de tecnología) y no están disponibles para actividades que podrían tener una mayor prioridad para el CRTC. Este ha empleado el 32% del total de los fondos en el marco del presupuesto aprobado, según los acuerdos concertados con los donantes, en cuyo contexto las actividades financiadas se planifican inicialmente para varios años de operaciones. Sin embargo, las actividades que el CRTC considera eficaces pueden cambiar con respecto a lo previsto en los planes operativos anuales o en los acuerdos con los donantes (por ejemplo, puede haber un menor número de solicitudes de asistencia técnica de lo que se esperaba; o se pueden poner en marcha nuevos servicios, como el Programa Incubadora). Si bien es posible que se disponga de recursos financieros adicionales gracias a la ejecución de algunas actividades en el marco del presupuesto, esos recursos no se pueden utilizar para financiar actividades a menos que se revisen los acuerdos con los donantes (los donantes autorizan esa revisión en la mayoría de los casos).

58. A pesar de los esfuerzos de la secretaría del CRTC y de la participación de la Junta Consultiva, así como las promesas de contribuciones formuladas en la CP 22 y la colaboración con el FVC, los fondos obtenidos son inferiores a lo previsto en el programa de trabajo inicial. Para mejorar su capacidad de ejercer influencia, el CRTC colaboró activamente con el FVC, el FMAM y los BMD, y logró que algunos proyectos de asistencia técnica se ejecutaran de forma colaborativa cuando se detectara un potencial de inversión ampliable.

2. Eficacia

59. La priorización de los servicios prestados por el CRTC fue coherente con su mandato: inicialmente, los esfuerzos se concentraron en la puesta en funcionamiento (capacitación de las END, definición de procedimientos, desarrollo del sistema de gestión de los conocimientos, comunicación, etc.), y esas funciones apoyan ahora el despliegue de la asistencia técnica y las actividades de creación de redes de contactos. El CRTC garantizó sistemáticamente una cobertura geográfica equilibrada de los beneficiarios, prestando a los PMA una atención especial que se vio reforzada por el Programa Incubadora.

60. La estructura descentralizada del CRTC (con la participación del PNUMA, la ONUDI y los asociados del consorcio en las regiones), los tres consultores dedicados a actividades del CRTC ubicados en cada región, y el desarrollo de actividades de fomento de la capacidad a nivel regional (con los foros regionales y el Programa Incubadora) contribuyeron al empoderamiento de las END y a la presentación de solicitudes de asistencia técnica pertinentes. La distribución geográfica y temática de las solicitudes de asistencia técnica fue equilibrada. Sin embargo, el número de solicitudes recibidas por el CRTC fue inferior a lo que se esperaba y, por consiguiente, el CRTC generó un número de proyectos y respuestas de asistencia técnica menor de lo previsto (véase el cuadro 2). Los proyectos ejecutados han respondido satisfactoriamente a las demandas de las END y los beneficiarios.

**Cuadro 2
Metas y logros en la asistencia técnica**

<i>Año desde la creación</i>	<i>Número previsto de respuestas^a</i>	<i>Número previsto revisado de respuestas^b</i>	<i>Número de nuevas solicitudes de entidades nacionales designadas</i>	<i>Número de nuevos proyectos en fase de diseño o ejecución, o ultimados</i>
Año 1 (2014)	De 6 a 10	De 6 a 10	20	15
Año 2 (2015)	De 70 a 105	De 70 a 100	55	27
Año 3 (2016)	De 120 a 170	De 120 a 170	82	55

<i>Año desde la creación</i>	<i>Número previsto de respuestas^a</i>	<i>Número previsto revisado de respuestas^b</i>	<i>Número de nuevas solicitudes de entidades nacionales designadas</i>	<i>Número de nuevos proyectos en fase de diseño o ejecución, o ultimados</i>
Año 4 (2017)	De 160 a 230	De 90 a 130	28 (medio año)	8 (medio año)
Año 5 (2018)	De 180 a 250	-	-	-
Total	De 550 a 780	De 266 a 410 (más de 4 años)	185 (más de 3,5 años)	105 (más de 3,5 años)

Fuente: Ernst and Young et Associés, a partir de datos del Centro y Red de Tecnología del Clima; pueden consultarse en <https://www.ctc-n.org/technical-assistance/request-visualizations>.

^a Productos previstos en el programa de trabajo inicial para 2013-2017.

^b Productos previstos revisados de los planes operativos anuales.

61. El CRTC elaboró el sistema de gestión de los conocimientos, que respalda la ejecución de sus operaciones y actividades asegurando la visibilidad del CRTC, prestando asistencia a la presentación de información sobre sus actividades y notificando a los interesados eventos futuros. Se alcanzaron todas las metas cuantitativas de desarrollo y funcionamiento del sistema de gestión de los conocimientos (número de materiales, visitas y usuarios, véase el cuadro 3), y los usuarios expresaron su satisfacción con el sistema. Sin embargo, la mayoría de los entrevistados manifestaron durante el examen que rara vez utilizaban el sistema de gestión de los conocimientos, y algunos de ellos señalaron dificultades específicas al consultar el sitio web del CRTC (por ejemplo, la estructura no facilitaba el uso, y faltaba alguna información). Se observó que la biblioteca de tecnología, que concentraba muchos recursos, no se utilizaba con demasiada frecuencia, lo que justifica la decisión de la Junta Consultiva de limitar su desarrollo.

62. Los servicios de fomento de la capacidad del CRTC se centraban en el empoderamiento de las END, con una participación más limitada de otros interesados locales. En general, los participantes en estas actividades estaban satisfechos y las consideraban útiles. Las actividades de capacitación y fomento de la capacidad habían dado lugar a la presentación de nuevas solicitudes. Sin embargo, algunos miembros de las END y de la Red señalaron que las actividades y el material no estaban disponibles en suficientes idiomas (en particular los seminarios web), que no existía información clara sobre los futuros eventos (las fechas y el lugar de celebración de las reuniones se daban a conocer demasiado tarde) y que los eventos no tenían lugar con suficiente frecuencia.

Cuadro 3

Metas y logros en la gestión de los conocimientos, el aprendizaje entre pares y el fomento de la capacidad

<i>Productos</i>	<i>Metas acumulativas durante los tres primeros años (programa de trabajo para 2013-2017)</i>	<i>Logros alcanzados a fines de 2016</i>	<i>Logros alcanzados en relación con las metas</i>
Número de respuestas de asesoramiento técnico a distancia mediante el servicio de ayuda a los usuarios	De 90 a 120	No se alcanzaron plenamente ^a	Logro inferior a la meta debido a la falta de demanda por los países
Número de talleres de fomento de la capacidad y de actividades de capacitación	De 16 a 22	21 foros regionales	Logro en consonancia con la meta

Productos	Metas acumulativas durante los tres primeros años (programa de trabajo para 2013-2017)		
		Logros alcanzados a fines de 2016	Logros alcanzados en relación con las metas
Herramientas y material de información, con inclusión de las mejores prácticas y las enseñanzas extraídas	3 500	10 768 en el sitio web del CRTC	Logro superior a la meta
Número de END del CRTC que recibieron capacitación	260	255 END del CRTC que recibieron capacitación en 2015 y 2016 ^b	Logro superior a la meta ^{b c}
Número de clientes del CRTC que recibieron capacitación	750	>1 500	
Número de usuarios únicos del sistema de gestión de los conocimientos	8 000	104 851 usuarios del sitio web del CRTC	Logro superior a la meta
Número de visitas a la página de recursos de información y herramientas	50 000	145 138 visitas a las páginas del sitio web del CRTC	Logro superior a la meta

Fuente: Ernst and Young et Associés, a partir de datos del CRTC.

Siglas: CRTC = Centro y Red de Tecnología del Clima, END = entidad nacional designada.

^a Para más detalles, véase la sección A sobre la pertinencia y la subsección sobre la evolución del programa de trabajo en el anexo IX.

^b El CRTC comunicó que había impartido capacitación a 150 representantes en 2015 (Junta Consultiva del CRTC, documento AB/2015/6/6a) y a 105 en 2016 (Junta Consultiva del CRTC, documento AB/2016/8/6b) basándose en los datos sobre los representantes de END que participaron en los foros regionales y el Programa Incubadora. Sin embargo, solo se controló el número de participantes, no el número de representantes de cada END que habían recibido capacitación.

^c El CRTC comunicó que había impartido capacitación a 1.200 clientes en 2015 (Junta Consultiva del CRTC, documento AB/2015/6/6a) y a 377 en 2016 (Junta Consultiva del CRTC, documento AB/2016/8/6b) basándose en los datos sobre los participantes en los foros regionales y los seminarios web. Sin embargo, no se controló el número de clientes individuales que habían recibido capacitación.

63. El CRTC alcanzó parcialmente sus metas para las actividades de divulgación, creación de redes de contactos y participación de los interesados (véase el cuadro 4). Además de las actividades de establecimiento de contactos vinculadas al fomento de la capacidad que se realizaron a nivel regional, el CRTC organizó algunos eventos y talleres internacionales. Hasta hace poco, con la excepción de los foros de interesados, el CRTC se había centrado en su puesta en funcionamiento. Las actividades de divulgación, creación de redes de contactos y colaboración tenían principalmente por objeto empoderar a las END (durante los eventos regionales de creación de redes de contactos) y dar a conocer el CRTC y sus servicios entre los posibles beneficiarios y miembros de la Red (mediante la participación de representantes del CRTC en eventos internacionales). El nivel de interacción entre los miembros de la Red y de participación de los interesados locales ha sido limitado. El CRTC tuvo dificultades para recabar la participación del sector privado, a pesar de su colaboración con DNV GL y la Red de Asesoramiento para la Financiación Privada y de haber puesto en marcha varias iniciativas durante los eventos de creación de redes de contactos.

Cuadro 4

Metas y logros en las actividades de divulgación, creación de redes de contactos y participación del sector privado

<i>Productos</i>	<i>Metas acumulativas durante los tres primeros años (programa de trabajo para 2013-2017)</i>		
	<i>Logros alcanzados a fines de 2016</i>	<i>Logros alcanzados en relación con las metas</i>	
Número de eventos y foros internacionales de tecnología	De 8 a 12	Participación en 17 eventos ^a	Los logros alcanzados superan las metas, pero algunos eventos se contabilizan en más de un indicador clave del desempeño
Número de talleres regionales de los sectores público y privado	De 12 a 18	Participación en 20 talleres ^a	
Número de reuniones regionales de creación de redes de contactos	De 18 a 27	Organización de 21 foros regionales ^b	
Número de asociados para los conocimientos (asociados que proporcionan herramientas y material de información para el sistema de gestión de los conocimientos)	200	265 (a marzo de 2017)	Logro superior a la meta

Fuente: Ernst and Young et Associés, a partir de datos del Centro y Red de Tecnología del Clima.

^a El CRTC organizó algunos de estos eventos, como foro de interesados del África Oriental sobre tecnologías inocuas para el clima, celebrado en Nairobi en 2016.

^b Estos eventos también se han contabilizado como actividades de fomento de la capacidad.

64. La suma total gastada en los tres primeros años desde el establecimiento del CRTC (2014 a 2016) es un 40% inferior a lo que se había previsto en los planes operativos anuales (véase el cuadro 5). Esta diferencia puede explicarse en gran medida por los siguientes factores:

a) La puesta en funcionamiento del CRTC (establecimiento de procedimientos, capacitación de las END, labor de comunicación, etc.) se demoró más de lo previsto inicialmente y, por consiguiente, se comenzaron a prestar servicios con retraso;

b) El CRTC recibió menos solicitudes técnicas de lo previsto por parte de los países en desarrollo, en particular durante el primer año y, por este motivo, el número de proyectos de asistencia técnica que se llevaron a cabo fue inferior al que se esperaba;

c) El CRTC se enfrentó a restricciones en materia de recursos financieros que limitaron sus actividades.

Cuadro 5

Presupuesto y gasto

(En dólares de los Estados Unidos)

<i>Año desde la creación</i>	<i>Ingresos totales (contribuciones voluntarias)</i>	<i>Presupuesto</i>		<i>Gasto total (estados financieros anuales)</i>	<i>Desfase (gastos/presupuesto revisado) (porcentaje)</i>
		<i>Presupuesto inicial (programa de trabajo para 2013-2017)</i>	<i>revisado (planes operativos anuales de 2015, 2016, 2017)</i>		
Año 0 (2013)	12 020 000	-	-	410 000	-
Año 1 (2014)	4 670 000	4 300 000	4 300 000	6 760 000	+57
Año 2 (2015)	10 790 000	12 000 000	14 500 000	11 000 000 ^a	-24

<i>Año desde la creación</i>	<i>Ingresos totales (contribuciones voluntarias)</i>	<i>Presupuesto inicial (programa de trabajo para 2013-2017)</i>	<i>Presupuesto revisado (planes operativos anuales de 2015, 2016, 2017)</i>	<i>Gasto total (estados financieros anuales)</i>	<i>Desfase (gastos/presupuesto revisado) (porcentaje)</i>
Año 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

Fuente: Ernst and Young et Associés, a partir de los datos del Centro y Red de Tecnología del Clima.

Nota: El presupuesto no incluye las contribuciones en efectivo y en especie del PNUMA, la ONUDI y los asociados del consorcio.

^a Los gastos correspondientes a 2015 se han ajustado para tener en cuenta las obligaciones no reconocidas anteriormente en los estados financieros preliminares. Las cifras de 2016 se basan en los estados preliminares.

3. Eficiencia

65. La Junta Consultiva proporcionó orientación adecuada a la secretaría del CRTC sobre la ejecución de su mandato y sobre cuestiones estratégicas. La creación de equipos de tareas resultó útil para estudiar más a fondo algunas cuestiones. Habida cuenta de la naturaleza de la labor del CRTC y de las crecientes expectativas de los países en desarrollo, es necesario reforzar la competencia técnica en el seno de la Junta Consultiva para que pueda seguir prestando una orientación estratégica adecuada. La participación de los Presidentes del CET en reuniones de la Junta Consultiva, así como en otros acuerdos existentes de colaboración entre el CET y el CRTC, contribuyen a esta competencia técnica. La ausencia de una plataforma especial para debatir los acuerdos con los donantes se señaló como un factor que limitaba la eficiencia de la Junta Consultiva.

66. La transparencia y la rendición de cuentas del CRTC acerca de sus actividades y recursos financieros se han ido reforzando progresivamente. Sin embargo, los miembros de la Junta Consultiva requieren información más frecuente a este respecto entre las reuniones de la Junta Consultiva. Los donantes que también son miembros de la Junta Consultiva han solicitado más información sobre la utilización adecuada de sus fondos, con un enfoque de transparencia y uso óptimo de los recursos. Durante el examen se señaló la falta de transparencia en los compromisos contractuales del CRTC con los donantes.

67. La asociación entre el PNUMA y la ONUDI se considera eficaz en el cumplimiento del mandato del CRTC. Las dos organizaciones tienen competencias técnicas complementarias y funciones claramente definidas, y han movilizado sus propios recursos, redes y procesos para facilitar la puesta en funcionamiento del CRTC y garantizar su integración en los sistemas de la Convención y la CP.

68. Los recursos humanos asignados inicialmente al CTC fueron más bien limitados teniendo presente el alcance de su labor. Para cumplir sus objetivos, el PNUMA y la ONUDI tuvieron que contar con el apoyo de los asociados del consorcio y con la movilización de los miembros de la Red. El equipo central del CTC pudo ofrecer a las END y a los beneficiarios los servicios de expertos idóneos y el apoyo adecuado, a pesar de una cierta falta de especialistas en adaptación y de las dificultades relacionadas con varios casos de puestos que quedaron vacantes después de salidas imprevistas.

69. En el programa de trabajo inicial para 2013-2017, el CRTC definió una hoja de ruta para la puesta en práctica y la prestación de sus servicios, que fue aprobada por la Junta Consultiva en 2013. El programa se ha revisado anualmente sobre la base de la disponibilidad de fondos para el CRTC y las necesidades expresadas por los países en desarrollo. A pesar de la firme implicación del consorcio, la puesta en marcha de los servicios del CRTC llevó más tiempo de lo previsto, principalmente debido a la falta de recursos (para más detalles, véase la subsección sobre la puntualidad de la puesta en funcionamiento del CRTC en la sección B del anexo IX).

70. La organización por regiones del CRTC, con los asociados del consorcio ubicados en las regiones en las que son expertos, ha sido un gran activo para respaldar el establecimiento del CRTC. El consorcio pudo dar apoyo al CRTC en materia de

comunicaciones, en la selección y presentación de solicitudes de asistencia técnica y en la organización de eventos regionales. Los asociados del consorcio fueron de gran ayuda al proporcionar asesoramiento al CTC sobre la evaluación de las solicitudes recibidas y sobre la formulación de planes de respuesta, pese a los importantes retrasos que se produjeron en algunos casos en la formulación de esos planes. La mayoría de los proyectos de asistencia técnica se asignaron a los asociados del consorcio mediante el proceso de “intervención de respuesta rápida”, que permitía ahorrar el tiempo que normalmente se destinaba al proceso de oferta y era bastante eficiente, teniendo en cuenta los limitados recursos financieros disponibles durante los primeros años de funcionamiento. Los beneficiarios reconocieron la idoneidad de los recursos de los asociados del consorcio, en términos de capacidad y aptitudes, que se habían movilizado para la prestación de asistencia técnica.

71. Si bien el CRTC logró reunir un número suficiente de asociados diversos en su Red, no consiguió crear una comunidad real. La mayoría de los miembros no son activos dentro de la Red, ya que no contribuyen al sistema de gestión de los conocimientos ni prestan asistencia técnica³³, y su participación en los eventos del CRTC es escasa. Algunos miembros de la Red están insatisfechos con las oportunidades comerciales y las actividades de creación de redes de contactos que ofrece el CRTC. Durante el examen, varios de los entrevistados cuestionaron la sostenibilidad y el valor añadido de la Red si no aumentaba su nivel de compromiso. Si bien los miembros de la Red habían contribuido a solo el 20% de los proyectos de asistencia técnica a diciembre de 2016, el 50% de las 29 solicitudes de asistencia técnica que habían entrado en fase de ejecución desde principios de 2017 estaban siendo ejecutadas por miembros de la Red. Las proyecciones del equipo central del CRTC apuntan a que los miembros de la Red ejecuten el 60% de las solicitudes de asistencia técnica en 2017.

72. Las END de los países en desarrollo desempeñan un papel importante en la selección y la coordinación de las solicitudes de asistencia técnica. Sin embargo, debido a la falta de recursos y a los problemas de gobernanza a nivel local, las END de los países en desarrollo no siempre pueden asumir plenamente su función, lo cual da lugar a demoras y a ineficiencias (por ejemplo, en la presentación de solicitudes de asistencia técnica que requieren perfeccionamiento en colaboración con el CRTC, o en las respuestas al CRTC). Además, las actividades de fomento de la capacidad (especialmente el Programa Incubadora), que han demostrado ser eficaces en el empoderamiento de las END, deben mantenerse durante tiempo debido al considerable movimiento de END. El CTC elaboró una guía sobre la función y las responsabilidades de las END de los países desarrollados, pero se señaló que la orientación no era lo suficientemente clara.

73. Se ha determinado que el proceso de asistencia técnica toma más tiempo del previsto, debido principalmente a la ambición excesiva de las metas iniciales del CRTC. A pesar de que el proceso es más breve que en otras organizaciones internacionales, algunos beneficiarios y END afirmaron que era largo, y algunos de ellos se declararon insatisfechos con él. Los principales factores que explican las demoras en el proceso son la complejidad de la organización del CRTC, con múltiples interlocutores y responsables de la adopción de decisiones (por ejemplo, las END, los asociados del consorcio, el personal del CTC), la falta de recursos (para el equipo central del CRTC, los asociados del consorcio y las END) y causas externas (por ejemplo, los cambios políticos y de gobernanza a nivel local).

74. Si bien se ha definido y aplicado una estrategia de comunicación, existe un cierto desconocimiento acerca del CRTC y sus servicios entre los interesados del ámbito local. Los foros regionales y las actividades de creación de redes de contactos no llegaron a un público lo suficientemente amplio, y faltaba comunicación entre las END y los interesados fuera del ecosistema institucional.

75. Los procedimientos del CRTC aprobados por la Junta Consultiva permitieron la puesta en funcionamiento del CRTC y la racionalización de sus servicios. En los dos

³³ El CRTC espera que la distribución de los proyectos de asistencia técnica ejecutados por los asociados del consorcio y por los miembros de la Red se vaya equilibrando progresivamente (como lo observó la Junta Consultiva en su novena reunión).

primeros años de funcionamiento se establecieron herramientas de comunicación, procesos de gestión y procedimientos claros, que apoyaron con eficacia las actividades del CRTC.

76. Durante la primera fase de la puesta en funcionamiento, el CRTC destinó una gran parte de su presupuesto al desarrollo del sistema de gestión de los conocimientos y al empoderamiento de las END. Desde 2016, el CRTC ha concentrado sus recursos financieros en la ejecución de proyectos de asistencia técnica y el fortalecimiento de las actividades de creación de redes de contactos y de participación de los interesados. A pesar de la disminución de otros gastos, los limitados fondos disponibles han hecho que la proporción del presupuesto destinada a las operaciones sea superior a lo previsto (en comparación con la proporción destinada a los servicios) en razón de los costos fijos.

77. Siempre que le fue posible, el CRTC optimizó sus actividades para reducir los costos, en particular mediante la cooperación con otros actores y el aprovechamiento de los conocimientos disponibles y el uso de material de sus asociados.

78. En general, el desempeño del CRTC fue eficaz en función del costo y pudo generar resultados sustanciales, a pesar de los limitados recursos disponibles. Aunque en ocasiones se ha considerado que los fondos disponibles eran demasiado escasos para los resultados previstos, los beneficiarios han estado satisfechos con los proyectos ejecutados por el CRTC y han reconocido en general que se hacía todo lo posible con los fondos de que se disponía.

4. Efectos y sostenibilidad

79. Algunos efectos concretos del CRTC ya se han observado en el diseño de las leyes y políticas energéticas y en la elaboración de hojas de ruta sobre el desarrollo y la transferencia de tecnologías para el clima. El CRTC demostró su capacidad para iniciar proyectos que pudieran beneficiarse de una mayor cantidad de fondos en un momento ulterior. Sin embargo, el CRTC no alcanzó sus metas en cuanto a los resultados (véase el cuadro 6).

Cuadro 6

Metas y logros en cuanto a los indicadores de resultado

<i>Indicadores de resultado^a</i>	<i>Metas para el quinto año de funcionamiento (2017)</i>	<i>Logros alcanzados a fines de 2016</i>
Inversiones en tecnología para el clima derivadas de la financiación para actividades de asistencia y para las intervenciones posteriores a los planes de respuesta del CRTC, directa o indirectamente atribuibles a las actividades del CRTC	600 millones de dólares EE.UU.	5 000 dólares EE.UU. comprometidos 1,14 millones de dólares EE.UU. en negociación directa o sometidos a los inversores o los donantes Potencial de inversión estimado de 350 millones de dólares EE.UU.
Número de planes de tecnología nacionales y sectoriales resultantes de la asistencia del CRTC	De 50 a 75	7
Número de nuevos proyectos y/o estrategias de tecnología impulsados por los países (políticas y leyes) que se han formulado, aplicado y ampliado gracias a la asistencia del CRTC	100	9
Número de asociaciones público/privadas creadas como resultado de los talleres	13	3 ^b

<i>Indicadores de resultado^a</i>	<i>Metas para el quinto año de funcionamiento (2017)</i>	<i>Logros alcanzados a fines de 2016</i>
Número de acuerdos de hermanamiento resultado de las actividades de creación de redes de contactos	18	4 ^c
Actividad del CRTC que directa o indirectamente generó una colaboración Sur-Sur, Norte-Sur o triangular	Ninguna meta establecida	5

Fuente: Ernst and Young et Associés, a partir de datos del CRTC.

Siglas: CRTC = Centro y Red de Tecnología del Clima.

^a Junta Consultiva del CRTC, documento AB/2015/5/15.

^b Se señaló que el CRTC había constituido una asociación público-privada en 2015 con la Red de Asesoramiento para la Financiación Privada que había trabajado en proyectos de asistencia técnica (véase el documento AB/2015/6/6a de la Junta Consultiva del CRTC) y otra, en 2016, con las divisiones creadas a raíz del foro de interesados del África Oriental (véase el documento AB/2016/8/6b de la Junta Consultiva del CRTC).

^c Se señala que el CRTC logró dos acuerdos de hermanamiento en 2015 a través de conversaciones con los bancos regionales de desarrollo (véase el documento AB/2015/6/6a de la Junta Consultiva del CRTC) y otros dos en 2016, mediante la colaboración con la Red de Asesoramiento para la Privación Privada y la Organización Mundial de la Propiedad Intelectual (véase el documento AB/2016/8/6b de la Junta Consultiva del CRTC).

80. La naturaleza de las actividades del CRTC y su relativa juventud hacen difícil evaluar los resultados que probablemente se materialicen varios años después de la terminación de un proyecto o actividad. Además, la naturaleza del propio CRTC (por ejemplo, el modelo de financiación voluntaria, las solicitudes de asistencia técnica impulsadas por los países) y el hecho de que el CRTC entrara en pleno funcionamiento más tarde de lo previsto indica que las metas con un plazo de cinco años tal vez sean excesivamente ambiciosas.

81. Ya se han observado algunos ejemplos cualitativos de los efectos mundiales a largo plazo de la actividad del CRTC en la mitigación y la adaptación al cambio climático, pero son pocos debido a la corta vida del CRTC y a la naturaleza de los proyectos desplegados (como un primer paso de cambios más importantes). Actualmente, el sistema de vigilancia y evaluación no está adaptado para captar los efectos a nivel macro de los servicios del CRTC (fomento de la capacidad, refuerzo de los conocimientos, fortalecimiento de los sistemas, reducción de la intensidad de carbono, mejora del índice de vulnerabilidad al cambio climático, contribución a los Objetivos de Desarrollo Sostenible). Sin embargo, esa información es fundamental para demostrar a los donantes que se hace un uso óptimo de los recursos y a los países en desarrollo que resulta útil emplear los servicios del CRTC.

82. A pesar de la falta de un sistema eficaz de vigilancia y evaluación, los interesados señalan la probabilidad de que el CRTC contribuya también a resultados positivos no previstos, relacionados con el desarrollo local, la incorporación de la perspectiva de género y la protección del medio ambiente. El CRTC está estudiando la formulación de una estrategia integrada para mejorar su incidencia en la incorporación de la perspectiva de género.

B. Conclusiones

83. Desde la perspectiva del consultor, los principales logros en relación con el funcionamiento efectivo del CRTC son los siguientes:

a) Los beneficiarios han mostrado satisfacción por los servicios prestados por el CRTC. Los entrevistados y los encuestados han reconocido el valor añadido por el CRTC, que se debe principalmente al alcance de la asistencia técnica que presta y a los plazos en los que opera. El CRTC fomentó sinergias con las instituciones financieras y los asociados técnicos para evitar la duplicación y reforzar el impacto de sus actividades de asistencia técnica.

b) En general, el PNUMA, la ONUDI y los asociados del consorcio han aplicado de manera efectiva las sucesivas decisiones de la CP y establecido el CRTC con arreglo a ellas, permitiéndole atender eficazmente al mandato encomendado por la CP y crecer como una institución reconocida que desarrolla una actividad especializada en el ecosistema mundial de apoyo para el clima. El CRTC ha adaptado sistemáticamente la priorización de sus servicios en función de sus recursos financieros y ha revisado su programa de trabajo para aplicar las sucesivas decisiones de la CP.

c) La puesta en funcionamiento del CRTC llevó tiempo, pero dio lugar a la creación de una organización bastante eficiente. El consorcio ofrece una buena combinación de competencia técnica básica y regional que, junto con el conocimiento de los procedimientos de las Naciones Unidas, ha garantizado la aplicación de las decisiones de la CP y ha facilitado el despliegue de los servicios del CRTC.

d) La Junta Consultiva ofreció orientación estratégica útil para las operaciones y los servicios del CRTC a fin de poner en práctica las decisiones de la CP y de garantizar el funcionamiento eficaz del CRTC.

e) Las actividades de fomento de la capacidad han dotado a las END de los medios necesarios para seleccionar y presentar las solicitudes pertinentes y, atendiendo a esas solicitudes, el CRTC ha prestado una asistencia técnica adaptada que ha respondido satisfactoriamente a las necesidades de los países.

84. Desde la perspectiva del consultor, las principales dificultades en relación con el funcionamiento efectivo del CRTC son las siguientes:

a) El modelo de financiación y la consiguiente escasez de fondos disponibles para el CRTC impide la prestación de servicios al nivel esperado. Una mayor previsibilidad y seguridad en cuanto a los recursos financieros permitirá garantizar que el CRTC pueda seguir cumpliendo con éxito el mandato encomendado por la CP y respondiendo satisfactoriamente a las necesidades y expectativas de los países en desarrollo.

b) En la actualidad no existe una plataforma dedicada a asegurar la presentación de informes sobre la transparencia y la rendición de cuentas del CRTC y las conversaciones con los donantes.

c) Habida cuenta de la naturaleza de la labor del CRTC y de las crecientes expectativas de los países en desarrollo, es necesario reforzar la competencia técnica en el seno de la Junta Consultiva para que pueda seguir prestando una orientación estratégica adecuada.

d) La escasez de recursos humanos movilizados en el equipo central del CRTC y los asociados del consorcio ralentizó la prestación de servicios de asistencia técnica y limitó la capacidad del CRTC para alcanzar sus metas en términos de productos. Además, el CRTC no aprovechó de manera suficiente los recursos y la competencia técnica de su Red: este conjunto de recursos podría ayudar a prestar asistencia técnica. El bajo nivel de participación de algunos de los miembros de la Red generó insatisfacción entre los miembros. Sin embargo, las cifras correspondientes al primer semestre de 2017 y las proyecciones para el año completo sugieren que los miembros de la Red ejecutarán un número cada vez mayor de proyectos de asistencia técnica.

e) El proceso de asistencia técnica depende de las END de los países en desarrollo, que por lo general carecen de los recursos y la capacidad para coordinar eficazmente la interacción con los beneficiarios y para mantener una comunicación suficiente con los interesados locales. La prestación de asistencia técnica solo en respuesta a las solicitudes nacionales limita las actividades del CRTC (el número de solicitudes fue inferior a lo previsto), así como las posibilidades de replicación.

f) Se han observado ineficiencias en las operaciones, que han dado lugar a demoras en la ejecución de los proyectos de asistencia técnica, y también esferas susceptibles de mejora en la organización de eventos y seminarios web. Además, existen oportunidades de maximizar la eficiencia del proceso de asistencia técnica.

g) El CRTC ha demostrado su capacidad de generar eficazmente productos satisfactorios, pero los resultados siguen siendo inferiores a lo previsto y solo se han

comunicado ejemplos cualitativos de efectos previstos a nivel macro. El CRTC debe hacer un mayor esfuerzo para demostrar los efectos de sus servicios a fin de poner de relieve su valiosa función de apoyo a los países en desarrollo para que amplíen y aceleren su acción para el clima y cumplan los objetivos del Acuerdo de París. En última instancia, esto demostrará a los actuales donantes que se está haciendo un uso óptimo de los recursos, y justificará la recaudación de fondos adicionales.

C. Recomendaciones

85. El consultor formuló las siguientes recomendaciones para mejorar el desempeño del CRTC.

1. Gobernanza y organización

a) **Recomendación 1: se alienta a los países a que den a conocer mejor sus END a los interesados pertinentes y a que apoyen a las END a través de las instituciones nacionales y mediante la cooperación con otras entidades de enlace de la Convención Marco**

86. Dado que las END han señalado una falta de apoyo y de reconocimiento a nivel nacional, esta recomendación ayudará a garantizar que la labor del CRTC se dé a conocer y reciba apoyo de las instituciones nacionales pertinentes. Esto podría lograrse mediante la creación de foros anuales de entidades de enlace de la Convención Marco para reunir a los representantes de las END y de los mecanismos institucionales relacionados con la Convención para que colaboren con miras a alcanzar una mayor complementariedad y repercusión de sus actividades relacionadas con el cambio climático. Además, los países en desarrollo podrían alentar a sus END a consultar con otras entidades nacionales para identificar, seleccionar y perfeccionar las solicitudes de asistencia técnica con el objeto de garantizar un apoyo firme a cada solicitud en el contexto nacional y una alineación estricta con las prioridades nacionales y las medidas en curso relacionadas con el clima y el desarrollo.

b) **Recomendación 2: se alienta a mejorar la gobernanza del CRTC, de modo que siga respondiendo a las necesidades de este órgano en términos de orientación estratégica y técnica**

87. Los interesados que participaron en el examen señalaron la falta de claridad respecto de la función de la Junta Consultiva. Si bien el mandato de la Junta Consultiva es principalmente apoyar los planes operativos y el presupuesto, su función ha evolucionado, de manera que ahora proporciona orientación estratégica. La CP podría revisar el mandato de la Junta Consultiva para que contemple la prestación de orientación estratégica al CRTC. Además, se podría alentar a las Partes a nombrar a miembros de la Junta Consultiva que cuenten con conocimientos técnicos relacionados con el desarrollo y la transferencia de tecnología para la adaptación y la mitigación.

c) **Recomendación 3: se alienta al CRTC a que aclare la función de las END de los países desarrollados**

88. Los interesados que participaron en el examen señalaron la falta de claridad respecto de las funciones y responsabilidades de las END de los países desarrollados. Esta recomendación asegurará que el CRTC pueda beneficiarse de los conocimientos técnicos de las END de los países desarrollados y pueda facilitar la colaboración y la recaudación de fondos. Esas medidas deberían tener por objeto reforzar la participación de las END de los países desarrollados en las actividades del CRTC, que podría lograrse mediante la creación de un grupo de trabajo integrado por las END de los países desarrollados con el fin de enmarcar más claramente su participación y contribución al CRTC.

2. Financiación

a) **Recomendación 4: se invita al PNUMA y a la ONUDI, como organizaciones anfitrionas del CRTC, a que identifiquen posibles fuentes de recursos financieros adicionales**

89. El actual modelo de financiación del CRTC se basa principalmente en las contribuciones voluntarias de los países, y la limitada disponibilidad de fondos del CRTC se consideró uno de los principales factores que le impedían prestar servicios al nivel esperado. Una forma en que el PNUMA y la ONUDI podrían poner en práctica esta recomendación es mediante la realización y la actualización periódica de un análisis exhaustivo de las posibles fuentes de financiación adicional (como las entidades filantrópicas, la financiación privada y la financiación colectiva) adaptadas a las actividades del CRTC. Una vez determinado el diseño de las fuentes de financiación identificadas (cuantía, formato, procedimientos), el CRTC podría priorizar las actividades de recaudación de fondos. Además, se alienta al CRTC a crear dentro de su equipo un puesto dedicado a la recaudación de fondos y al diálogo con los donantes, lo que permitiría al resto del personal centrarse en sus funciones.

b) **Recomendación 5: se alienta al CRTC, el FMAM y el FVC a que sigan estudiando formas de facilitar la aportación de financiación sostenida para las actividades del CRTC y de mejorar los vínculos operacionales entre las organizaciones, de conformidad con sus respectivos mandatos**

90. La limitada disponibilidad de financiación para el CRTC se señaló como uno de los principales factores que le impedían prestar servicios al nivel esperado. El FMAM y el FVC han demostrado su voluntad de apoyar al CRTC, pero ello ha ocurrido de manera puntual, mientras que el CRTC necesita una mayor previsibilidad de sus recursos financieros. El suministro de financiación por el FMAM y el FVC debería apuntar a reducir al mínimo las demoras para que no obstaculicen la eficiencia de las operaciones del CRTC. Además, el FMAM ha desarrollado y financia una red de centros regionales de tecnología del clima, que prestan servicios similares y colaboran con el CRTC de manera limitada. El fortalecimiento de los vínculos entre el CRTC y los Centros Regionales de Tecnología del Clima del FMAM facilitará el intercambio de conocimientos y aumentará las posibles sinergias a nivel regional. Los países deberían poner a sus END en contacto con los funcionarios de enlace del FMAM en su país para determinar los conceptos de proyectos que podrían beneficiarse de los servicios tanto del CRTC como del FMAM. Los vínculos entre la asistencia técnica del CRTC y los programas de financiación del FVC podrían mejorarse mediante la institucionalización de una relación entre las END y las AND. Esto permitiría a esos actores maximizar las posibles sinergias en cuanto a la comunicación, la coherencia a nivel nacional, la complementariedad, las relaciones entre los interesados locales e internacionales y los recursos humanos.

3. Asistencia técnica

Recomendación 6: se alienta al CRTC, su Junta Consultiva y las END a que aumenten la eficiencia de la prestación de asistencia técnica del CRTC

91. Se han observado algunas ineficiencias en la prestación de asistencia técnica, lo que ha generado demoras, trabajo adicional para el CRTC y descontento entre algunos beneficiarios. Una de las formas de aumentar la eficiencia es ejercer un mejor control sobre los plazos de elaboración de los planes de respuesta del CRTC. Además, se alienta al CRTC a que prosiga y abra cada vez más las ofertas de proyectos de asistencia técnica a los miembros de la Red con el fin de aprovechar mejor sus conocimientos y recursos. También podría estudiar la posibilidad de organizar grupos de expertos dentro de la Red que se movilizarían para un tema determinado o en una región concreta y tendrían prioridad sobre otras ofertas de asistencia técnica en su ámbito de especialización. El CRTC podría señalar asimismo las mejores prácticas y los casos de éxito en los proyectos de asistencia técnica a fin de impulsar su replicación mediante el fomento de la capacidad y el intercambio de conocimientos. Por último, la promoción de la asistencia técnica multirregional entre las END podría lograr una mayor eficiencia en la asignación de recursos, así como evaluar

sistemáticamente las oportunidades para prestar asistencia técnica a otros países además de los indicados en la solicitud.

4. Gestión de los conocimientos, aprendizaje entre pares y fomento de la capacidad

Recomendación 7: se alienta al CRTC a que siga capacitando a las END con regularidad y facilitando la elaboración de las solicitudes a través de sus foros regionales y su Programa Incubadora

92. Los interesados señalaron que las actividades de fomento de la capacidad eran necesarias para empoderar a las END de los países en desarrollo, que desempeñaban la función crucial de seleccionar y presentar las solicitudes. Esta recomendación asegurará que se preserven de manera continua los conocimientos especializados en el conjunto de las END, y que las solicitudes sean compatibles con los servicios de asistencia técnica del CRTC y las prioridades nacionales. Una forma de mejorar la capacidad y la eficiencia de las END es la creación de módulos de fomento de la capacidad que aprovechen la selección de proyectos de asistencia técnica satisfactorios para facilitar su replicación en otros países. Además, se recomienda que el CRTC prevea mejor la planificación y organización de eventos y seminarios web, y comunique las fechas de estos con la antelación necesaria para facilitar una mayor participación.

5. Actividades de divulgación, creación de redes de contactos y participación de interesados

a) Recomendación 8: se alienta al CRTC a que siga dando a conocer sus servicios en los países en desarrollo

93. Se observó que el conocimiento del CRTC y sus servicios entre los interesados locales era limitado. Esta recomendación asegurará que los países en desarrollo aprovechen plenamente los servicios del CRTC. Una manera de lograrlo sería facilitar la participación de un mayor número de interesados de los países en desarrollo (y especialmente del sector privado) en las actividades de asistencia técnica, fomento de la capacidad y creación de redes de contactos del CRTC, ya que esos interesados cuentan con conocimientos pertinentes sobre las carencias del entorno propicio a nivel nacional y podrían apoyar la aplicación de las tecnologías para el clima sobre el terreno.

b) Recomendación 9: se alienta al CRTC a reforzar la participación de los miembros de la Red en sus actividades

94. Se determinó que en general el CRTC no aprovechaba de manera suficiente los recursos y los conocimientos especializados de su Red en la prestación de sus servicios básicos. Este conjunto de recursos podría contribuir de manera significativa a la prestación de asistencia técnica. El bajo nivel de participación de algunos de los miembros de la Red generó insatisfacción entre ellos. Para abordar este problema cabría, entre otras cosas, requerir con mayor frecuencia la contribución de la Red a los servicios básicos del CRTC, incluidos el sistema de gestión de los conocimientos y la prestación de asistencia técnica, y celebrar más eventos para los miembros de la Red, como el que tuvo lugar en la CP 22.

6. Vigilancia, evaluación y presentación de informes

Recomendación 10: se alienta al CRTC a que refuerce la transparencia de sus acuerdos de financiación y mejore la presentación de informes y la evaluación de sus efectos

95. Para recaudar fondos adicionales, el CRTC debe demostrar a sus donantes actuales que se está haciendo un uso óptimo de los recursos. Una forma de lograrlo es aumentar la transparencia de los acuerdos con los donantes publicándolos en el sitio web del CRTC. También es fundamental que se comunique mejor el impacto logrado. Se recomienda que el CRTC informe con mayor frecuencia a la Junta Consultiva sobre su desempeño mediante tableros trimestrales sobre los progresos alcanzados sobre la base de indicadores clave y estratégicos del desempeño. Además, el CRTC podría organizar foros anuales de donantes

con el fin de proporcionar información sobre las actividades del CRTC y de examinar y, en caso necesario, revisar los acuerdos con los donantes. Asimismo, se alienta al CRTC a elaborar un marco de vigilancia y evaluación que refleje los resultados y los efectos logrados y pueda analizarse de forma sencilla, y que proporcione información objetiva y cuantitativa sobre los efectos de la asistencia técnica. El CRTC podría realizar una evaluación *a posteriori* unos años después de la terminación de cada proyecto de asistencia técnica para demostrar los efectos logrados y evaluar la sostenibilidad y la replicabilidad.

7. Junta Consultiva

Recomendación 13: solicita a la Junta Consultiva que lleve a efecto las recomendaciones derivadas del presente examen

Anexo I**[Inglés únicamente]***List of acronyms used in the annexes**

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.

Anexo II

[Inglés únicamente]

List of COP decisions related to the CTCN

<i>Decision</i>	<i>Paragraph(s)/ Article(s)</i>	<i>Summary of the relevant paragraphs related to the CTCN</i>
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.

Anexo III

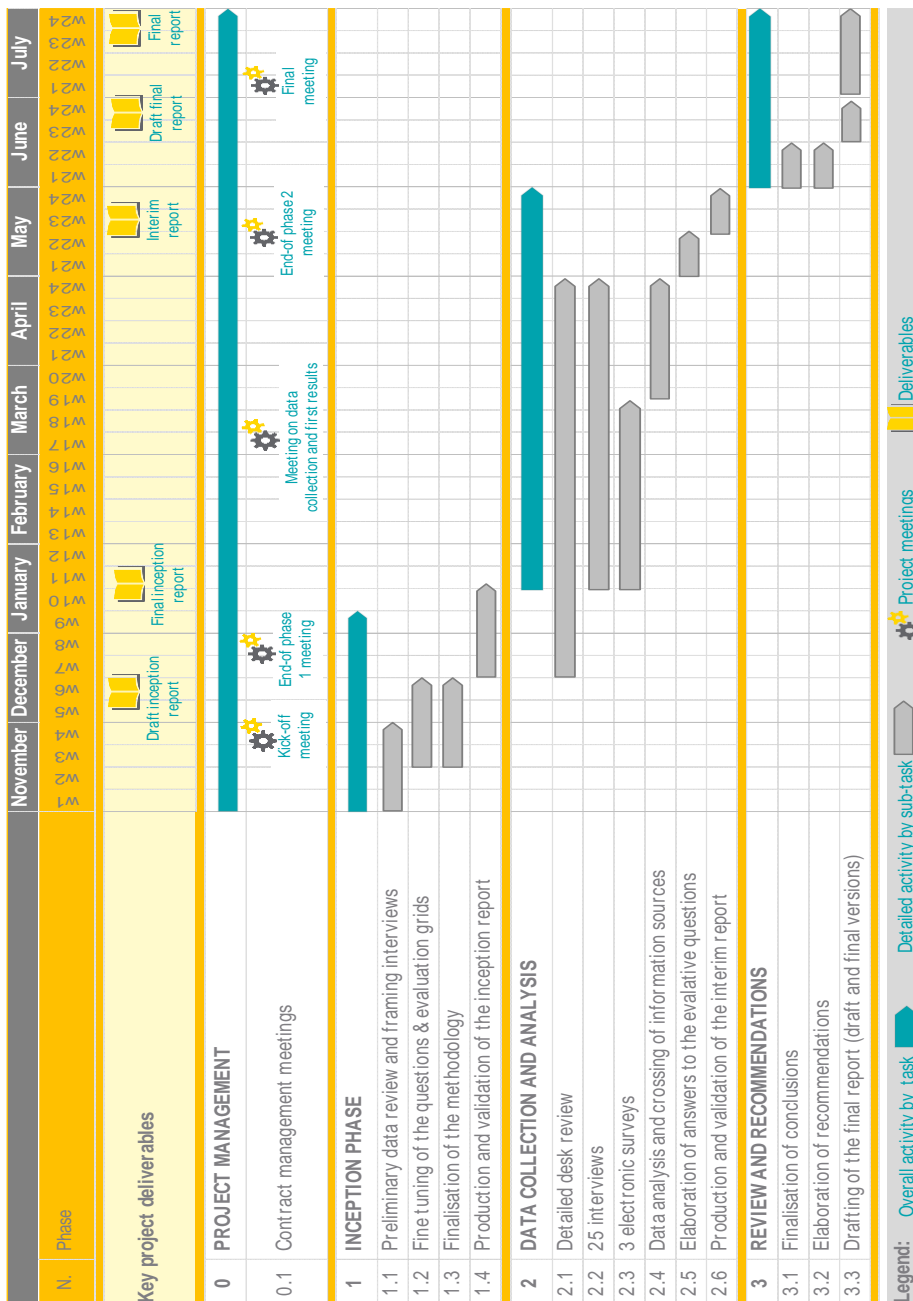
[Inglés únicamente]

Planning of the independent review

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

- (a) Phase 1 ended by mid-January 2017, after the validation of the inception report;
- (b) Phase 2 ended by the end of May 2017, after the interim report was sent and after the organization of the end-of-phase 2 meeting;
- (c) Phase 3 was completed by the end of July 2017, after validation of the final report.

Figure 7
Evaluation planning (Source: EY)



Anexo IV

[Inglés únicamente]

Evaluation grids

1. Relevance

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

Subquestions:

(a) To what extent is the work plan of the CTCN aligned with COP decisions or has to be revised?

(b) To what extent were the interventions undertaken under the CTCN relevant to the country's context and needs for support (at the time of the evaluation and at the time the project was being developed), and within the boundaries of the CTCN mandate?

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

- (i) Selection and sequencing of activities/components/beneficiaries;
- (ii) Processes and procedures;
- (iii) Funding;
- (iv) Time frame;
- (v) Human resources, and,
- (vi) Communication, Monitoring, Assessment & Evaluation.

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

(e) To what extent are the services offered by the CTCN complementary with policy guidance given by the TEC, with the UNFCCC Financial Mechanism (GEF and GCF), and with other related climate support programs (provided by bilateral cooperation agencies, development banks, universities and research centers, NGOs or private sector technology providers)? Have potential synergies (whether on-going or completed) been optimized? How can synergies be improved in the future?

(f) To what extent did the CTCN respond adequately to changes in the macroeconomic, technological and political context that occurred over the course of its implementation? How can it be adapted in the future to changes which have taken place since its launch?

Indicators and Data sources:

- Intervention logic of the CTCN strategy (resources, services, objectives) through the analysis of funding documents (decisions of the COP, operating plans...);
- Identification of the main changes in the work plan of the CTCN and the main decisions of the COP regarding the CTCN;
- Flow charts mapping procedures and processes (for technical assistance, network...);
- Mapping of linked international climate change policies and comparative matrix for objectives and activities (analysis of other funding documents);
- Identification of non-annex 1 countries' needs for support regarding CC mitigation and adaptation (through preliminary literature review and focus on 5 countries), and comparison with the CTCN services;
- Global analysis of macroeconomic technological and political context changes (through preliminary literature review and focus on 5 countries);
- Perception of partners (advisory board, consortium members, etc.) on the program's relevance in addressing these issues (through interviews and survey);
- Perception of NDEs and beneficiaries on the program's relevance in addressing their needs (through interviews and survey).

2. Effectiveness

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

Subquestions:

- (a) To what extent was the CTCN established according to targeted deadlines?
- (b) To what extent did the CTC communication and organization (including the incubator programme) support a coordinated identification and submission of relevant requests for technical assistance (technical assistance) from developing countries?
- (c) To what extent did processes and procedures support a responsive assessment and answer to requests for technical assistance? Have the answers been frequent enough (125-190 quick responses & 70-95 response projects over 4 years), diversified (geographical coverage, mitigation/adaptation, type of support...) and produced on time?
- (d) To what extent were the responses (both quick answers and projects) consistent with the demand for technical assistance? Were the NDEs and beneficiaries satisfied with the technical assistance provided?
- (e) To what extent was the knowledge management system (KMS) developed in accordance with the work programme (in terms of functionalities, format, timeframe...)?
- (f) To what extent are sufficient and relevant tools and information materials (3,500 in 2016) available in the KMS?
- (g) To what extent is the KMS regularly used by targeted beneficiaries (8,000 unique KMS users and 50.000 page visits by 2016) and perceived as useful?
- (h) To what extent were regular and relevant training sessions organized on time (all NDEs trained and 750 CTCN clients trained by 2016) and were perceived as useful by the participants?
- (i) Were there enough capacity building workshops (16-22 by 2016) and remote technical advice and helpdesk (90-120 by 2016) organized by the CTCN? To what extent were they relevant, on time, and perceived as useful by the participants?
- (j) Were there enough and relevant international events or forum (8-12 by 2016), public/private workshops (12-18 by 2016) and regional networking meetings (18-27 by 2016) organized by the CTCN. To what extent were they relevant, on time, and perceived as useful by the participants?
- (k) What are the major factors influencing the achievement/non-achievement of targeted output to date (difficulties and success factors)? What can be enhanced to make the organization of events and trainings, the provision of technical assistance and the dissemination of information have greater impact?
- (l) What are the main differences compared to the initial Programme of Work? Are these changes and unplanned activities are consistent, in keeping with the CTCN mandate (given by the COP)? Is there any lack to completely fulfil the CTCN mandate?
- (m) To what extent is the CTCN's output measurement system appropriate and well-managed? Are quantitative and qualitative data available? Are selected indicators adequate?

Indicators and Data sources:

- Analysis of monitoring and evaluation related documents (case study from UNEP, annual reports and other reporting documents);
- Review of output indicators values and reliability;
- Quantitative analysis of services provided by the CTCN: technical assistance requests / answers / projects, trainings, events, KMS visits... (via data base analysis);
- Thorough analysis of available documents related to a sample of sub-projects (e.g. participants and calendar of events, content of technical assistance, participants and program of trainings...);

- Perception of partners (advisory board, consortium members, etc.) on the program's deployment and achievement in terms of outputs (through interviews and survey);
- Perception of NDEs and beneficiaries regarding the deployment and the usefulness of different services (technical assistance, KMS, training...) (through interviews, surveys and feedbacks);
- SWOT analysis of the CTCN services (technical assistance, network...).

3. Efficiency

Question: Have the objectives of the CTCN been achieved efficiently by the establishment of the CTCN and the deployment of its services?

Subquestions:

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

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

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

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

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

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

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

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

(i) To what extent has the CTCN been cost-effective in achieving outputs, relative to comparable initiatives of UN and/or other stakeholders in the sector? Considering the costs and outputs, to what extent has the CTCN provided value for money?

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

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

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

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

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

Indicators and Data sources:

- Achievement of outputs given by the answers to the questions related to effectiveness;
- Quantitative analysis of direct resources and costs: fund raising, expenses, CTC staffs and associated... (through data base analysis);
- Ratios between benefits achieved (technology transfers, partnership, trainings, knowledge) and funds disbursed for different activities;
- Analysis of indirect resources and costs: partners' contributions, NDEs resources, time consumption for request applicant... (through interviews, surveys and the analyze of a sample of projects);
- Simplified benchmark with comparable initiatives (through interviews with partners and a preliminary literature review);

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

4. Impacts and sustainability

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

Subquestions:

(a) To what extent did the CTCN contribute to the development of national and sectoral technology plans (TNA & TAP) (50-75 by the 5th year of implementation) as well as policies 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).

Anexo V

[Inglés únicamente]

List of documents used during the preparation of the report

Decisions of the COP (all available at <http://unfccc.int/ttclear/negotiations/decisions.html>)

- 1/CP.16.
- 2/CP.17.
- 14/CP.18.
- 25/CP.19.
- 16/CP.20.
- 17/CP.20.
- 1/CP.21.
- 12/CP.21.
- 13/CP.21.
- 14/CP.22.
- 15/CP.22.
- Paris Agreement. Available at: <http://unfccc.int/ttclear/negotiations/decisions.html>

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- 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>.
- CTCN. 2015. Progress Report January 2014 – August 2015. Available at https://www.ctc-n.org/sites/www.ctc-n.org/files/ctnc_progressreport_01dec_complete_screen_final_a4.pdf.
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Anexo VI

[Inglés únicamente]

List of interlocutors interviewed during the preparation of the report

<i>Type of actor</i>	<i>Organisation</i>	<i>Name</i>
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
	European Commission	Karsten Krause
Advisory Board members (and ex-members)	Argentina	Gabriel Blanco
	Grenada	Spencer Linus Thomas
	USA	Griffin Thompson
	Norway	Mette Møglestue
	BINGO	Tanya Morrison
	RINGO	Shikha Bhasin
	Carbon counts (UK)	Paul Zakkour
Network partners	SNV Netherlands Development Organization (NL)	Eric Buysman
	CTI PFAN (Japan)	Manuel Espinoza
	ECOWAS Centre for Renewable Energy and Energy Efficiency (Cape Verde)	Peter Storey, Bobby Namiti and Taiki Kuroda
	Mahama Kappiah and Monica Maduekwe	
	WIPO	Anja Von des Ropp
	ADB	Xuedu Lu
	Thailand	Surachai Sathitkunararat
NDE	Mauritius	Sin Lan Ng Yun Wing
	Guinea	Mamady Kobélé Keita
	Péru	Claudia Figallo de Gherzi
	Chile - Ministerio del Medio Ambiente	Daniel Felipe Alvarez Latorre
CTCN sub-project beneficiaries	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

Anexo VII

[Inglés únicamente]

Additional information on the surveys

Profile of respondents

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

Table 7

Response rates to the surveys

<i>Survey targets</i>	<i>Number of emails sent</i>	<i>Number of replies (Answered question 1)</i>	<i>Rate</i>	<i>Number of survey completed (answered the last question)</i>	<i>Rate</i>
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.

	<i>NDE</i>		<i>Beneficiaries</i>	
	<i>Number of respondents</i>	<i>Percentage</i>	<i>Number of respondents</i>	<i>Percentage</i>
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%

Anexo VIII

[Inglés únicamente]

Summary of services provided by the CTCN

Technical assistance

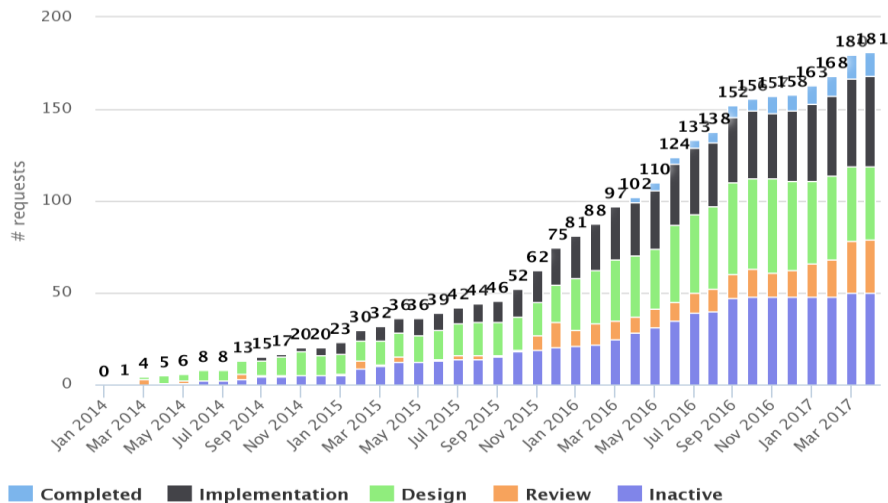
1. As per its mandate, the CTCN provides technical assistance to countries based on the requests submitted by their NDEs. The technical assistance is provided either by one of the consortium partner or by a network member. The technical assistance procedures¹ organize the technical assistance process 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 Assistance⁴



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 1st 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 internal¹² and external¹³ communications.

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

- (a) The publication of recurrent reports on its operations and results, such as the Joint annual reports to the UNFCCC with the TEC, an annual progress report since 2015, brochures on its activities and on the network (in French, English and Spanish), and short impact briefs for the most advanced technical assistance projects;
- (b) The transmission of information about its activities to stakeholders through: a newsletter distributed to nearly 5,000 individual subscribers, and articles (28 in 2015 and 26 in 2016) published on the CTCN website and distributed through social media (Twitter and Facebook);
- (c) The publication of studies to share information and best practices about its technical assistance on selected topics;

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

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

⁷ Based on the World Bank classification.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Strengthening of networks, partnerships and capacity-building

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

Regional Fora

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

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 programme²⁹ 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*.

Anexo IX

[Inglés únicamente]

Detailed review of the performance of the CTCN

A. Relevance of CTCN activities

Added-value of the CTCN

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

(a) To the question “*Why did you request technical assistance from the CTCN?*” of the electronic survey, 60% of the respondents indicated that the CTCN's focus on climate change technologies was well aligned with their own objectives, and about 30% of them had been looking for such technical assistance for a long time without finding an adequate programme;¹

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

2. When asking NDEs and beneficiaries if they could identify other organizations that provide similar services, most of them either answered that they could not identify any organization like the CTCN,² or listed organizations related to the CTCN, such as UN bodies (UNOPS, UNEP, UNIDO, GCF, GEF) and Consortium Partners or Network Members (GIZ, ECREE, Clean Energy Solution Center, Low Emission Development Strategies Global Partnership). Some also listed multilateral and bilateral development banks (Worldbank, KfW, and JICA), international organizations (IRENA) and regional initiatives (Belgian Federal NDC Support Initiative).

Response to the needs of developing countries

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

4. To be eligible, requests need to demonstrate alignment with national plans and NDCs, as defined in the guiding principles of the Prioritization Criteria for Technical Assistance and formalized in the technical assistance request form.³ NDEs and Beneficiaries have reported that the submission of a request was almost systematically preceded by several iterations with the CTCN to better frame the request and ensure that it was the most appropriate with regards to country needs and CTCN capacities. Only 2.6% of all requests submitted as of May 2017 were classified as non-eligible by the CTCN.⁴ Such result implies that almost all requests for technical assistance were assessed by the CTCN

¹ Out of the 25 who responded to this question.

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

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

⁴ Source: <https://www.ctc-n.org/technical-assistance/request-visualizations>.

to be relevant in accordance with the criteria established by the Advisory Board, both regarding country needs and the CTCN mandate.

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

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

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

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

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

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

Consistency with the COP mandate

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

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

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

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

⁷ Decision 2/CP.17, and Annex VII.

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

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

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

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

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

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

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

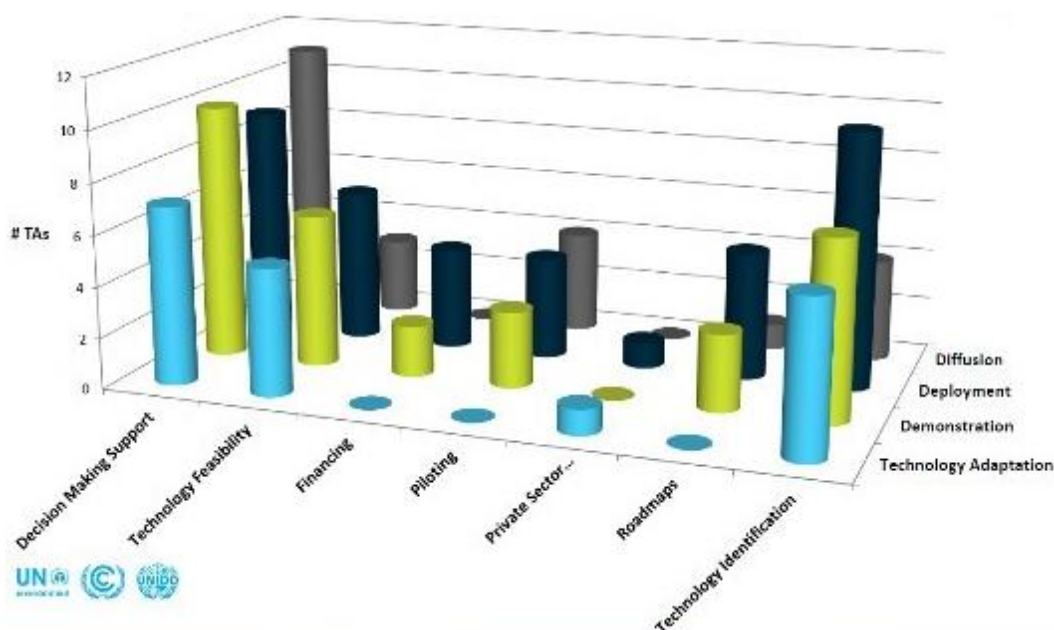
⁸ Decisions 25/CP.19, 13/CP.21, 15/CP.22.

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

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

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

Figure 10
Technical Assistance across the technology innovation cycle¹²



(ii) The technical assistance provided by the CTCN always include capacity building which contribute to the development of endogenous activities. The 2017 operating plan focuses on the development of endogenous technologies for some of the CTCN activities, such as the regional and stakeholder for a;

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

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

Evolution of the Programme of work

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

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

(b) Capacity building workshops and regional network meetings have been merged with the NDE training workshops and Regional Fora. However, these events

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

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

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

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 that a minimum of USD 0.6 million could be secured this way. This expected budget is lower than the USD 67.6 million targeted for the first four years of operation, and, based on fundraising records and interviewees' feedback, it seems challenging to secure the USD 100 million initially budgeted for the first five years of operations. If no additional sources of funding are secured, it is expected that the CTCN will not have the resources to continue its operations at their current pace by 2017-2018.¹⁶

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

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

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

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

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

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

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

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

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

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

Complementarity and synergies with policy advice given by the TEC

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

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

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

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

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

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

*establish greater coherence between TEC and CTCN meetings to track progress and establish a common narrative”.*²¹

Complementarity and synergies with the UNFCCC Financial Mechanism

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

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

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

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

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

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

²² Decision 25/CP.19, Annex II.

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

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

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

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

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

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

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

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

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

Complementarity and synergies with other climate related support programs

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

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

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

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

²⁵ Ibid.

²⁶ Source: UNFCCC.2016. 2016 report of the GEF to the COP. FCCC/CP/2016/6.

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

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

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

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

B. Effectiveness of CTCN services

Timely implementation of the CTCN

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

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

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

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

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

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

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

Provision of technical assistance at the request of developing countries

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

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

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

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

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

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

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

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

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

³¹ See <https://www.ctc-n.org/technical-assistance/request-visualizations>.

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

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

³⁴ Noticed by 11 respondents out of 25 to the question “Why did you request technical assistance from the CTCN?”.

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

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

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

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

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

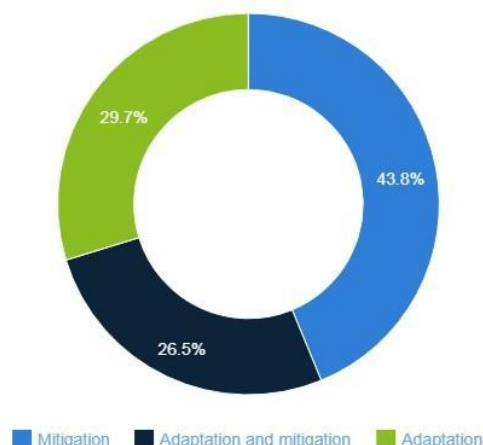
41. The geographical coverage of technical assistance requests submitted to date matches the mandate given to the CTCN of prioritizing technical assistance towards least developed countries and other vulnerable countries. Requests are well distributed with regards to the global distribution of non-Annex I countries and LDCs:

- (a) 44% of requests originate from Africa, which represents 35% of non-Annex I countries;
- (b) 29% from Asia, which represents 29% of non-Annex I countries;
- (c) 22% from Latin America and the Caribbean, which represent 21% of non-Annex I countries;
- (d) 3% from Oceania, which represents 9% of non-Annex I countries;
- (e) and 2% from Eastern Europe, which represents 5% on non-Annex I countries.

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

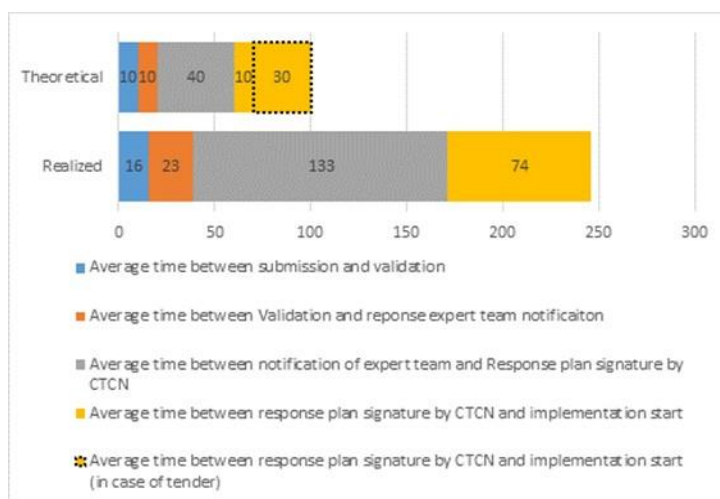
³⁵ 20 out of 25 beneficiaries, and 44 out of 52 NDEs, agreed or strongly agreed with the following assertion: "Following your request(s) for technical assistance to the CTCN would you say that selection criteria were available and clear?".

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



43. Several NDEs and beneficiaries who were interviewed and participated in the surveys indicated that the delay between the submission and the start of implementation was too long. The average duration between the submission of a request and the start of implementation approaches 250 working 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 AB5³⁷ give an indicative timeline of maximum 70 working days between the submission of a request and the beginning of implementation in the case of a response by the consortium, and 100 working days in the case of a response by a network member. In some cases this period reached almost two years, partially due to causes independent of the CTCN such as irresponsiveness from NDEs or limited staff resources and inadequate planning.

Figure 12
Theoretical and effective durations of the different steps of the technical assistance process (Source: EY, based on CTCN data)³⁸



(a) On average, the Secretariat took 16 working days after the submission to produce a statement of eligibility on the requests (against 10 days targeted), followed by another 23 working days to designate and notify an expert team (consortium member) and

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).

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 discussions⁴⁰ 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 be further refined and narrowed down during the Response Planning Stage. When substantive refinement and narrowing is required, this work has at times contributed to slow down the process of designing the Response Plan, and thus delaying the delivery of the technical assistance.”

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

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 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.

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>.

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 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.

⁴⁴ Source: CTCN. 2016. Internal document of the CTCN, *Communications Overview*.

⁴⁵ Source: CTCN. 2016. CTCN Proposed KMS Forward Plan.

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

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

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

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

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

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

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

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

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

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

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

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

Organization and participation to networking events

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

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

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

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

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

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

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

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

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

C. Efficiency of CTCN operations

Governance

58. According to interviewees, the Advisory Board is rightly sized and its composition⁴⁹ well-balanced with regards to several criteria such as developed/developing country balance, representation of the NGO community and representatives of UNFCCC constituted bodies.⁵⁰ Provided the nature of the CTCN's work and growing expectations from developing countries, there is a need for enhanced technical expertise within the Advisory Board for it to continue providing the adequate strategic guidance.

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

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

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

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

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

⁵⁰ Source: <https://www.ctc-n.org/about-ctcn/advisory-board>.

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

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

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

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

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

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

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

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

CTC Core Team organization and resources

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Integration of Consortium Partners

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

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

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

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

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

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

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

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

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.*

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>)

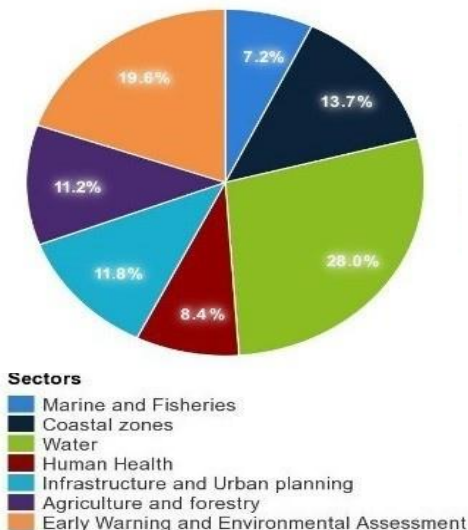
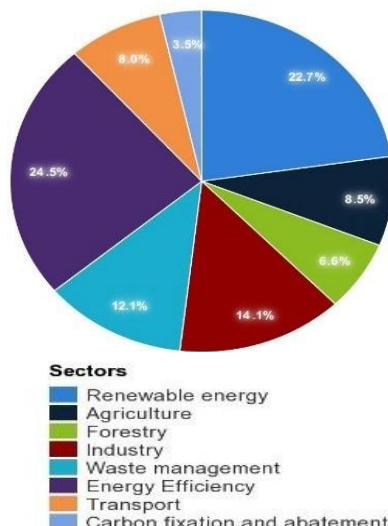


Figure 14
Mitigation sector expertise (Source: <https://www.ctc-n.org/technical-assistance/data>)



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 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:

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.

(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

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.

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

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

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 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.

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

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 eligible⁶⁸ are not prioritized due to the lack of financial resources to implement the projects, the need to prioritize other requests from countries that have not received technical assistance yet, and to prioritize requests from LDCs, in order to reach the desired geographical and economic balance.

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

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 9th Advisory Board.

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

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

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

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

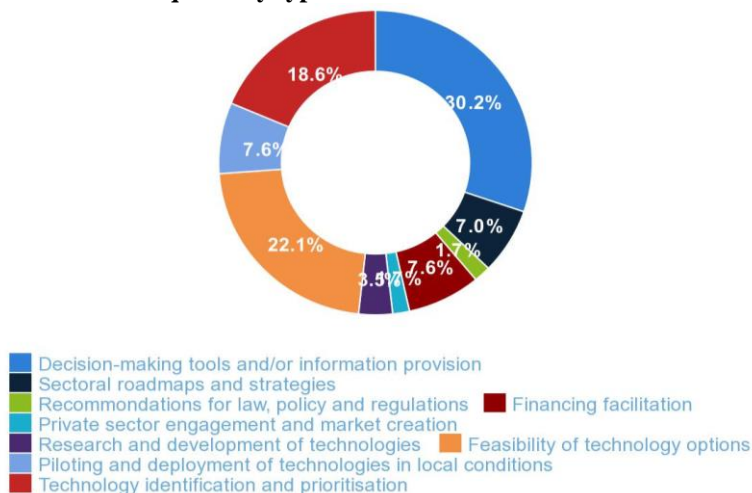
Monitoring and assessment of effects and impacts

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.

Figure 15

Distribution of requests by type of assistance⁷¹



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

⁷¹ Source: <https://www.ctc-n.org/technical-assistance/request-visualizations>.

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)

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

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

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

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

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

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

(b) The elaboration of strategic plans, policies or laws, creation of partnerships, or mobilization of funds result from long-lasting processes. Assessing the direct

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

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 twinning arrangements,⁷⁵ including two with its network members PFAN⁷⁶ and WIPO.⁷⁷ This lower than the initial target of ten in 2016. In addition, this does not correspond to the definition given for Twinning Arrangements in the Programme of Work, which encompasses primarily arrangements between stakeholders other than the CTCN itself.⁷⁸ It notably results from a lack of regular networking events involving different types of CTCN stakeholders.

109. Only three Public-Private Partnerships have been created, instead of the six that the CTCN was aiming for in 2016.⁷⁹ The CTCN launched events specifically dedicated to fostering private-public collaboration only recently, with the first Stakeholder Forum taking place in April 2016 in Nairobi,⁸⁰ and a second forum held early 2017 with a slightly different format in Singapore.⁸¹

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

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

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

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

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

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

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

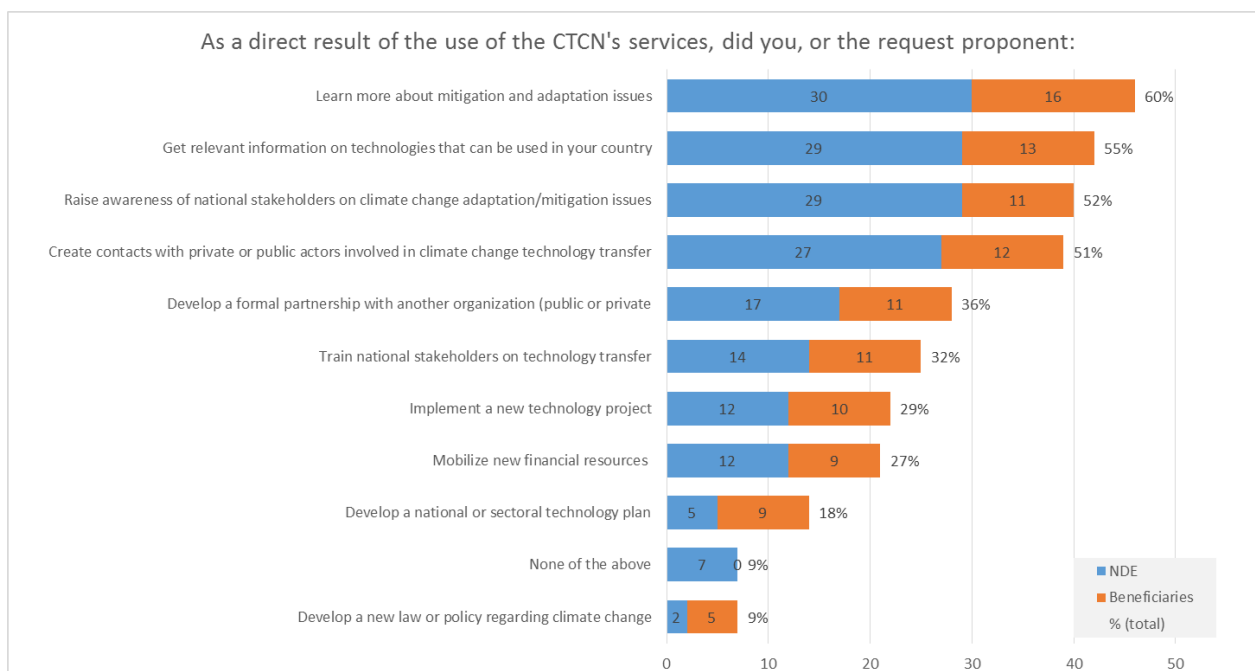
⁸⁰ This event, co-organized with PFAN, aimed at bringing together business representatives, NDEs and the CTCN in order to better engage non-NDE stakeholders and in particular the private sector to leverage its action.

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

110. The CTCN's activities also led to South-South and triangular collaborations in a few occasions, including the provision of technical assistance by a non-Annex 1 country⁸² as well as the collaboration of different countries in order to present common technical assistance requests to the CTCN.⁸³ However, multi-regional projects may require higher budgets than projects scoping single countries, and may have been limited by the funding rules of the CTCN which currently cap the total budget to USD 250,000 per request and not per country participating to the request.

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

Figure 16
Outcomes of the CTCN services used (Source: EY)



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

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

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 Thai 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).

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 goals⁸⁶ other than qualitatively is likely to be very challenging for the CTCN, considering the nature of the CTCN's projects, which are small-scale and most of the time represent the initial steps towards larger-scale projects.

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

Unintended outcomes and changes

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

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

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

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

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

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

⁸⁹ The contributions to gender equity are the following: - The CTCN required proponent to describe how they are taking into account and monitoring gender considerations within their requests; - The

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

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

Replicability and sustainability

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

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

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

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).