

Fourteenth meeting of the Technology Executive Committee

United Nations Campus (AHH building), Bonn, Germany
28–31 March 2017

Background note

Evaluation of the Poznan strategic programme, including draft terms of reference

I. Introduction

A. Background

1. In response to the Subsidiary Body for Implementation (SBI) invitation, and as per activity 17 of its 2016–2018 workplan,¹ the TEC is to update its evaluation report of the Poznan strategic programme on technology transfer (PSP).

2. The TEC is to update the report drawing on the experiences gained and lessons learned from the PSP climate technology transfer and finance centres and pilot projects of the fourth replenishment of the Global Environment Facility (GEF).² The source of information for the experiences gained and lessons learned is the mid-term evaluation reports on these activities.³

B. Scope of the note

3. This note provides an overview of the PSP and the TEC's evaluation of the programme. It also describes a possible process for the TEC to undertake the evaluation. The annex to this document contains a draft terms of reference (TOR) for the TEC's work.

C. Possible action by the Technology Executive Committee

4. The TEC will be invited to exchange views on the possible process for updating the PSP evaluation report and agree on any appropriate follow-up activities by the TEC on this matter.

II. Poznan strategic programme on technology transfer

5. Since 2009, the GEF has supported climate technology activities through the PSP. The programme aims to scale up the level of investment for technology transfer to developing countries, helping them address their climate technology needs. The GEF established the programme with a budget of USD 50 million. The long-term plan for the implementation of the PSP has five elements.

6. The first element is support for climate technology centres and a climate technology network. The GEF approved financing for four climate technology centres anchored in multilateral development banks and also provides support to the Climate Technology Centre and Network.⁴

¹ See <<https://goo.gl/tPJra8>>.

² Ibid.

³ FCCC/SBI/2015/22, paragraph 78.

⁴ FCCC/CP/2016/6, table 15.



7. The second element is piloting priority technology projects to foster innovation and investments. The GEF has selected 14 pilot projects with GEF financing of USD 58 million and co-financing of USD 241 million. The majority of the projects support mitigation action, with one focusing on adaptation and three having adaptation elements.⁵ The GEF has approved eleven of the projects and these are being implemented. Three of the selected projects were cancelled. The projects cover a wide range of technologies and approaches, including biomass and biofuel production, solar photovoltaic systems and more-efficient road freight technologies.

8. The third element is supporting public-private partnerships in technology transfer. Under GEF-5 there was a GEF-wide (i.e. not limited to climate change) private sector set-aside of USD 80 million. The GEF designed its public-private partnership activities to serve all the focal areas. Only one of the programme framework documents refers to technology transfer.

9. Technology needs assessments are the fourth element. Through this element, the GEF provides financial support to developing countries to undertake technology needs assessments and prepare technology action plans. Since 2009, the GEF has provided more than USD 15 million to over 50 developing countries for these activities. In 2016 the GEF Council approved a project that will support 20 least developed countries and small island States to undertake technology needs assessments with total GEF financing of USD 5.9 million.

10. The final element is “GEF as a catalytic supporting institution for technology transfer”. Through this element the GEF showcases its support for climate technology activities. It has participated in meetings, held side-events, created a dedicated webpage and produced outreach material.

11. Further information on the PSP is available in the [GEF's annual report to COP 22](#)⁶ and at the [GEF website](#).⁷

III. Evaluation of the Poznan strategic programme on technology transfer

12. In 2014, SBI 40 invited the TEC to evaluate the PSP with the aim of enhancing the effectiveness of the Technology Mechanism. In 2015 the TEC undertook this evaluation and delivered a final report to SBI 43 (December 2015).⁸ In this report the TEC delivered key messages and recommendations on the PSP with the aim of enhancing the Technology Mechanism's effectiveness. One recommendation has led the GEF to change the way it reports on its technology support, with the aim of making the report easier to understand.⁹

13. In its evaluation report, the TEC noted it was difficult to determine the impact of some PSP elements, as projects were at early stages of implementation.¹⁰ On the centres, the TEC noted that: “*[t]o date there have been limited reporting or midterm evaluations and it is therefore difficult to measure current progress and impact.*”

14. In considering the TEC's report, the SBI encouraged the GEF to share the midterm evaluations of the climate centres and pilot projects with the TEC and the Climate Technology Centre and Network as soon as available.¹¹ In response, the GEF has made some midterm evaluations available through its annual report to the COP.¹²

15. The SBI also invited the TEC to update the evaluation report, drawing upon the experiences gained and lessons learned from the activities referred to in these midterm evaluations, with the aim of enhancing

⁵ For further information see annex III of FCCC/SBI/2015/16.

⁶ FCCC/CP/2016/6.

⁷ <www.thegef.org/content/poznan-strategic-program>.

⁸ FCCC/SBI/2015/16.

⁹ The technology chapter of the GEF's annual report to the COP now has three sections. They are: a) regional and global climate technology activities; b) national climate technology activities; and c) technology needs assessments.

¹⁰ FCCC/SBI/2015/16, paragraph 23 and 29.

¹¹ FCCC/SBI/2015/22, paragraph 78.

¹² FCCC/CP/2016/6, pages 95, 98, 100.

the effectiveness of the Technology Mechanism, for consideration by the COP no later than at its twenty-third session (November 2017), through the SBI.¹³

IV. Possible process for updating the evaluation report

16. To update its PSP evaluation report, the TEC may consider undertaking a process similar to that of its original evaluation. It could mandate a TEC task force to undertake inter-sessional work. It could also invite the GEF and CTCN to provide inputs. The TEC could then complete the report at its 15th meeting, before submitting it to COP 23.¹⁴

17. The annex to this document elaborates on the above in the form of a draft TOR for the TEC's work. It contains information on work's possible aim, scope of work, process, activities, information sources, form and timing.

¹³ FCCC/SBI/2015/22, paragraph 79.

¹⁴ In accordance with required document deadlines (mid-September 2017).

Annex

Terms of reference:

Update of the TEC report of the evaluation of the Poznan strategic programme on technology transfer

I. Aim

1. The Technology Executive Committee (TEC) is to update its report¹⁵ on the evaluation of the Poznan strategic programme on technology transfer (PSP) with the aim of enhancing the effectiveness of the Technology Mechanism.¹⁶
2. The TEC is to update the report drawing on the experiences gained and lessons learned from the PSP climate technology transfer and finance centres and pilot projects of the fourth replenishment of the Global Environment Facility (GEF).¹⁷ The source of information for the experiences gained and lessons learned is the mid-term evaluation reports on these activities.¹⁸

II. Scope of work

3. By the invitation of the Subsidiary Body for Implementation at its forty-third session (SBI 43), the scope consists of an updated evaluation of two GEF PSP activities:
 - (a) The climate technology transfer and finance centres;
 - (b) The pilot projects of the fourth replenishment of the GEF.
4. The updated evaluation of these two activities should cover the following:
 - (a) Their effectiveness and efficiency in meeting Party needs;
 - (b) The operations of the PSP activities to:
 - (i) Scale up and replicate projects;
 - (ii) Address global and regional issues;
 - (iii) Effect a model of change;
 - (c) Experiences gained and lessons learned in implementing the two PSP activities, as relevant to the Technology Mechanism;
 - (d) Overlap, complementarity and synergies between the two PSP activities and those of the Technology Mechanism;
 - (e) The responsiveness of the GEF and other relevant actors to the TEC's recommendations on the PSP to enhance the effectiveness of the Technology Mechanism, as contained in the TEC's final report on the evaluation.¹⁹
 - (f) Key messages and recommendations on the PSP to enhance the effectiveness of the Technology Mechanism.

III. Process

5. To update its evaluation report, the TEC should undertake the following process:
 - (a) Plan and design the update;

¹⁵ FCCC/SBI/2015/16.

¹⁶ FCCC/SBI/2015/22, paragraph 79.

¹⁷ Ibid.

¹⁸ FCCC/SBI/2015/22, paragraph 78.

¹⁹ FCCC/SBI/2015/16, paragraph 97.

- (b) Collect data;
- (c) Review and analyse the data;
- (d) Develop key messages and recommendations;
- (e) Write the update report.

IV. Activities

6. The update should comprise the following activities:

Plan and design the update

- (a) Determine the terms of reference for updating the evaluation report (this document);

Collect data

- (b) Collect and review information on the two PSP activities referred to in paragraph 3, as of relevance to the Technology Mechanism. As SBI 43 stated, the primary source of information is the mid-term evaluation reports of the two activities referred to in paragraph 3, subject to their availability;²⁰

Review and analyse the data

- (c) Review the GEF's implementation of decisions of the Conference of the Parties (COP) and SBI conclusions on the two activities, of relevance to the Technology Mechanism;
- (d) Review the GEF's progress in implementing the two activities of relevance to the Technology Mechanism;
- (e) Analyse how the PSP has contributed to scaling up the level of investment in the transfer of environmentally sound technologies to developing countries;
- (f) Identify experiences gained and lessons learned from the GEF's implementation of the two activities of relevance to the Technology Mechanism;
- (g) Review the GEF's and other actors' responsiveness to the TEC's recommendations on the PSP to enhance the effectiveness of the Technology Mechanism, as contained in the TEC's final report on the evaluation.²¹

Develop key messages and recommendations

- (h) Develop key messages and recommendations on the PSP with a view to enhancing the effectiveness of the Technology Mechanism, including possible next steps;

Write the update report

- (i) Prepare an updated report on the evaluation;
- (j) Highlight limitations related to updating the evaluation. For example, challenges in accessing data.

V. Information sources

7. The update should be based on information drawn from:
- (a) COP decisions and SBI conclusions;

²⁰ SBI 43 encouraged the GEF to share the midterm evaluations of the PSP climate technology transfer and finance centres and pilot projects of the fourth replenishment of the GEF with the TEC and the CTCN as soon as available (FCCC/SBI/2015/22, paragraph 78).

²¹ FCCC/SBI/2015/16, paragraph 97.

- (b) GEF reports on its progress in implementing the PSP;
- (c) Mid-term evaluation reports of the agencies implementing the PSP climate technology transfer and finance centres;
- (d) Mid-term evaluation reports of the agencies implementing the PSP pilot projects of the fourth replenishment of the GEF;
- (e) Other reports prepared by the GEF, implementing agencies or other stakeholders related to these two activities;
- (f) Reports of the TEC and the Climate Technology Centre and Network;
- (g) Consultations with the GEF;
- (h) Consultations with the Climate Technology Centre and Network;
- (i) Consultations with external experts and stakeholders. These may include Parties, nationally designated entities, GEF focal points, beneficiary countries, implementing agencies and international financial institutions;
- (j) Third party reviews of the PSP.

VI. Form

8. The update of the evaluation report should be a separate document. It should complement the TEC's final evaluation report which it submitted to COP 21 through SBI 43.

VII. Timing

9. The TEC is to provide its update report to COP 23 through SBI 47.
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