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## Subsidiary Body for Scientific and Technological Advice

Forty-first session

Lima, 1–6 December 2014

Item 5 of the provisional agenda

**Development and transfer of technologies and implementation of the Technology Mechanism: joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network**

## Subsidiary Body for Implementation

Forty-first session

Lima, 1–8 December 2014

Item 12(a) and (b) of the provisional agenda

**Development and transfer of technologies and implementation of the Technology Mechanism**

**Joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network**

**Poznan strategic programme on technology transfer**

# Joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network for 2014

### *Summary*

This report covers the respective activities and the performance of the respective functions of the Technology Executive Committee (TEC) and the Climate Technology Centre and Network (CTCN) in 2014. It includes a chapter on the joint key messages of the TEC and the CTCN for the Conference of the Parties (COP) at its twentieth session, as well as separate chapters on the activities and performance of each of the two bodies. The report of the TEC outlines the work carried out in 2014 in accordance with its rolling workplan for 2014–2015, and includes key messages for COP 20. It covers the outcomes of the 8<sup>th</sup> and 9<sup>th</sup> meetings of the TEC and its intersessional work. The report of the CTCN describes its work in 2014, covers the outcomes of the 3<sup>rd</sup> and 4<sup>th</sup> meetings and intersessional work of the Advisory Board of the CTCN, and includes information provided by the United Nations Environment Programme on matters regarding its role as the host of the Climate Technology Centre.

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## **I. Introduction**

### **A. Mandate**

1. The Conference of the Parties (COP), by decision 1/CP.16,<sup>1</sup> established a Technology Mechanism, comprising a Technology Executive Committee (TEC) and a Climate Technology Centre and Network (CTCN), to facilitate the implementation of enhanced action on technology development and transfer. The objective of that enhanced action is to support action on mitigation and adaptation in order to achieve the full implementation of the Convention.

2. By the same decision,<sup>2</sup> the COP decided that the TEC and the CTCN shall report to the COP, through the subsidiary bodies, on their respective activities and the performance of their respective functions.

3. By decision 2/CP.17,<sup>3</sup> the COP requested the TEC and the CTCN to establish procedures for preparing a joint annual report, and also requested the secretariat to make available such joint annual report for consideration by the COP through its subsidiary bodies. In response to that request, the TEC and the CTCN agreed on the procedures for preparing joint annual reports, as described in document FCCC/SB/2013/1, paragraph 3.

### **B. Scope of the note**

4. This document consists of the joint annual report of the TEC and the CTCN to the COP for 2014 and contains:

- (a) A chapter on the joint key messages of the TEC and the CTCN;
- (b) Information on the activities and performance of the TEC in 2014, including key messages for COP 20. It covers the outcomes of the 8<sup>th</sup> and 9<sup>th</sup> meetings and intersessional work of the TEC;
- (c) Information on the activities and performance of the CTCN in 2014. It covers the outcomes of the 3<sup>rd</sup> and 4<sup>th</sup> meetings and intersessional work of the Advisory Board of the CTCN, and includes information provided by the United Nations Environment Programme (UNEP) on matters regarding its role as the host of the Climate Technology Centre.

### **C. Possible action by the subsidiary bodies**

5. The Subsidiary Body for Scientific and Technological Advice (SBSTA) and the Subsidiary Body for Implementation (SBI) may wish to consider the joint annual report of the TEC and the CTCN for 2014 and recommend a draft decision on this matter for consideration and adoption at COP 20.

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<sup>1</sup> Decision 1/CP.16, paragraph 117.

<sup>2</sup> Decision 1/CP.16, paragraph 126.

<sup>3</sup> Decision 2/CP.17, paragraphs 142 and 143.

## II. Joint key messages of the Technology Executive Committee and the Climate Technology Centre and Network

6. The development and transfer of technologies for both adaptation and mitigation is central to addressing climate change. Through its two components – the TEC and the CTCN – the **Technology Mechanism responds to Parties’ needs** in terms of technology development and transfer **at both the policy and the implementation levels** with concrete support provided for action on the ground. The Technology Mechanism is now fully operational and is fulfilling its mandate.

7. The TEC, now in its fourth year of operation and currently implementing its second two-year workplan, carried out important activities in 2014 in collaboration with various institutions and stakeholders. These include TEC recommendations to COP 20 on linkages between the Technology Mechanism and the Financial Mechanism of the Convention that would help promote coherence and effectiveness of support for climate action. Additional information is presented in chapter III below.

8. The CTCN, guided by its Advisory Board, is now fully deploying its services and is currently implementing its five-year programme of work. The CTCN is engaging constructively with national designated entities including through a series of training workshops (in different languages) to enable such entities to fulfil their role as effectively as possible. As a result, the CTCN is now responding to a growing number of requests from developing country Parties for technical assistance. The CTCN is also attracting a growing number of diverse organizations from both developed and developing countries to join the Network. In order to promote information and knowledge-sharing, the CTCN is establishing a robust knowledge management system, which is presented in chapter IV below.

9. Throughout 2014, the TEC and the CTCN have been collaborating closely on a number of activities and events and have been maintaining regular communication, including through the participation of their Chairs and Vice-Chairs at the meetings of the other body. The TEC and the CTCN also participated in various meetings held during the sessions of the Ad Hoc Working Group on the Durban Platform for Enhanced Action (ADP). This effective collaboration demonstrates strong interlinkages between the TEC and the CTCN, and brings coherence and synergy to their work, as envisaged by Parties at COP 16.

10. The TEC and the CTCN will continue to work in close collaboration in 2015 and beyond to further enhance the effectiveness of the Technology Mechanism. In the light of the successful implementation of their workplans and other mandated activities, the TEC and the CTCN stand ready to support Parties in implementing enhanced action on mitigation and adaptation, both in the short term and in the long term, including through the implementation of the 2015 agreement that is being elaborated by Parties in the ADP, without prejudging the outcomes of the deliberation among Parties on this matter.

11. The TEC and the CTCN wish to provide Parties with the following **joint key messages on how to further enhance action on technology development and transfer**. The TEC and the CTCN:

(a) Recognize and emphasize the significant importance of Parties’ involvement in its mandate, including the critical role of national designated entities. The high number of national designated entities nominated so far is very encouraging, and the TEC and the CTCN invite Parties who have not yet done so to nominate their entities as soon as possible;

(b) Strongly encourage developing country Parties to make effective use of the available support provided by the CTCN, through their national designated entities;

(c) Invite national designated entities to identify opportunities to coordinate with the national focal points for other UNFCCC processes, for example in developing nationally appropriate mitigation actions, national adaptation plans (NAPs) and low-emission development strategies;

(d) Underline the need for sustainable and predictable financial support to ensure the effective operation and timely delivery of services of the Technology Mechanism, in particular the CTCN;

(e) Recommend that the COP invite the operating entities of the Financial Mechanism to provide financial support for the operation and services of the CTCN and further recommend that Parties in a position to do so support the CTCN through the provision of financial and other resources in accordance with decision 2/CP.17, paragraphs 139–141.

### **III. Report on the activities and performance of the Technology Executive Committee in 2014**

#### **A. Organizational matters**

##### **1. Membership**

###### Election of the Chair and Vice-Chair of the Technology Executive Committee

12. The TEC, at its 8<sup>th</sup> meeting, elected Mr. Gabriel Blanco (Argentina) and Mr. Kunihiro Shimada (Japan) as the Chair and Vice-Chair of the TEC for 2014, respectively. The TEC expresses its appreciation to Mr. Blanco and Mr. Shimada for their effective leadership of the TEC in 2014, which enabled the TEC to effectively carry out its work.

13. The election of the Chair and Vice-Chair of the TEC for 2015 will be conducted at the first meeting of the TEC in 2015.

###### Changes in membership

14. The following changes in the membership of the TEC took effect in 2014:

(a) Replacement of Mr. Jukka Uosukainen (Finland, Annex I Parties) by Ms. Elfriede A. More (Austria, Annex I Parties);

(b) Replacement of Mr. Süfyan Emiroğlu (Turkey, Annex I Parties) by Mr. Ibrahim Kiliçaslan (Turkey, Annex I Parties);

(c) Replacement of Mr. Can Wang (China, Asia-Pacific States) by Mr. Xiaohua Zhang (China, Asia-Pacific States).

15. A list of the members of the TEC, including the length of their respective terms of office, is available on the UNFCCC website.<sup>4</sup>

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<sup>4</sup> <[http://unfccc.int/bodies/election\\_and\\_membership/items/6558.php](http://unfccc.int/bodies/election_and_membership/items/6558.php)>.

## **2. Arrangements for the meetings of the Technology Executive Committee and related events**

16. The TEC held two meetings in 2014: its 8<sup>th</sup> meeting from 5 to 7 March and its 9<sup>th</sup> meeting from 18 to 21 August, both in Bonn, Germany.

17. All meetings of the TEC were webcast, enabling live and on-demand coverage of the plenary discussions. The meetings were attended by a high number of observers, including Party observers and observer organizations. Observers were regularly invited to express their views on the various issues under consideration. The meeting documents and reports, the presentations made during the meetings and the webcasts of the meetings are available on the technology information clearing house (TT:CLEAR).<sup>5</sup>

18. At its 9<sup>th</sup> meeting, the TEC agreed to hold its 10<sup>th</sup> meeting in mid-March 2015 in Bonn.

19. Also in 2014, the TEC organized a workshop on technologies for adaptation in collaboration with the Adaptation Committee, a workshop on national systems of innovation, and a thematic dialogue on climate technology financing.

## **B. Elaboration and implementation of the rolling workplan of the Technology Executive Committee for 2014–2015**

20. The TEC, at its 8<sup>th</sup> meeting, elaborated and agreed on its rolling workplan for 2014–2015 (hereinafter referred to as the rolling workplan).<sup>6</sup> It aims to support Parties in enhancing and scaling up action on technology development and transfer in accordance with the mandates and functions of the TEC. The rolling workplan also allows for flexibility and adjustments, including in response to any emerging priorities or possible further guidance from the COP.

21. To prioritize its work and effectively fulfil its mandate and functions, the TEC structured its rolling workplan around six workstreams: joint work under the Technology Mechanism; technology needs assessments (TNAs); climate technology financing; enabling environments and barriers; technologies for adaptation and mitigation; and strategic and emerging issues.

22. Also at its 8<sup>th</sup> meeting, the TEC established several internal task forces<sup>7</sup> to undertake intersessional work on activities of the rolling workplan. Since their establishment, the task forces have conducted substantive work, providing valuable contributions to the implementation of the rolling workplan.

23. The TEC wishes to express its appreciation for the financial contributions provided by Parties and the active participation and support of relevant organizations and stakeholders, which have helped the TEC to successfully implement the rolling workplan in 2014.

### **1. Joint work under the Technology Mechanism**

24. In addition to preparing the joint annual report, the TEC and the CTCN collaboratively organized a joint side event at the June 2014 sessions of the subsidiary bodies to present the current status of the progress of their work in providing support to

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<sup>5</sup> <[http://unfccc.int/ttclear/templates/render cms\\_page?TEC\\_meetings](http://unfccc.int/ttclear/templates/render cms_page?TEC_meetings)>.

<sup>6</sup> Available at <[http://unfccc.int/ttclear/misc\\_/StaticFiles/gnwoerk\\_static/TEC\\_infobox\\_2/0bde16ddda98494d86f0e4ed105b0629/50099ad819ac40a98d336a23c06a4257.pdf](http://unfccc.int/ttclear/misc_/StaticFiles/gnwoerk_static/TEC_infobox_2/0bde16ddda98494d86f0e4ed105b0629/50099ad819ac40a98d336a23c06a4257.pdf)>.

<sup>7</sup> <[http://unfccc.int/ttclear/templates/render cms\\_page?s=TEC\\_intersesswrk](http://unfccc.int/ttclear/templates/render cms_page?s=TEC_intersesswrk)>.

Parties.<sup>8</sup> Ms. Christiana Figueres, Executive Secretary of the UNFCCC, provided keynote opening remarks and the event was very well attended. The TEC and the CTCN will hold another joint side event at COP 20.

25. It should be noted that since 2014 the Chair and Vice-Chair of the Advisory Board of the CTCN are invited to attend the meetings of the TEC in order to further enhance communication and collaboration between the two bodies. This arrangement complements the membership of the Chair and Vice-Chair of the TEC in the Advisory Board of the CTCN. In addition, the Director of the CTCN attended the 8<sup>th</sup> and 9<sup>th</sup> meetings of the TEC to brief the TEC on the recent work and activities of the CTCN.

## 2. Technology needs assessments

26. In accordance with the rolling workplan, a review of TNAs, technology action plans, project ideas and progress in the implementation of the results of TNAs was conducted in 2014. Taking into account the outcomes of this review, the TEC worked on the development of a paper on good practices on TNAs with the objectives of strengthening the TNA process and identifying actions to accelerate the implementation of the results of TNAs.

27. At its 9<sup>th</sup> meeting, the TEC considered a draft paper on good practices on TNAs and provided guidance to further improve it, requesting further work on the paper and the involvement of additional practitioners, such as TNA coordinators and relevant organizations.

28. Based on its work on this matter, the TEC developed key messages for COP 20 on TNAs, as presented in chapter III.D below.

## 3. Climate technology financing

29. In response to decision 1/CP.18,<sup>9</sup> the TEC undertook work to prepare recommendations for COP 20 on linkages between the Technology Mechanism and the Financial Mechanism of the Convention.

30. As per its rolling workplan, the TEC prepared an internal value proposition paper summarizing the work of the TEC that is of relevance to the Financial Mechanism of the Convention, which was considered during the preparation of recommendations on linkages between the Technology Mechanism and the Financial Mechanism.

31. Also as part of the preparation of such recommendations, the TEC held an in-session thematic dialogue on climate technology financing<sup>10</sup> during its 9<sup>th</sup> meeting. The overall objective of the dialogue was to identify possible linkages between the Technology Mechanism and the Financial Mechanism of the Convention. More specifically, the thematic dialogue aimed to: (a) highlight issues surrounding climate technology financing; (b) identify challenges and opportunities, good practices and lessons learned from financing climate technologies; and (c) identify opportunities for enhancing the implementation of TNAs. Participants included representatives from the Asian Development Bank, the Clean Technology Fund, the Global Environment Facility (GEF), the Green Climate Fund (GCF) secretariat, the Standing Committee on Finance (SCF), and Environment and Development Action in the Third World, as well as the Chair of the Advisory Board of the CTCN.

<sup>8</sup> See <[http://unfccc.int/ttclear/templates/ttclear/templates/render\\_cms\\_page?s=events\\_SE-TEC-CTCN-SB40](http://unfccc.int/ttclear/templates/ttclear/templates/render_cms_page?s=events_SE-TEC-CTCN-SB40)>.

<sup>9</sup> Decision 1/CP.18, paragraph 62.

<sup>10</sup> See <[http://unfccc.int/ttclear/pages/ttclear/templates/render\\_cms\\_page?s=TEC\\_TD4](http://unfccc.int/ttclear/pages/ttclear/templates/render_cms_page?s=TEC_TD4)>.

32. Taking into account the value proposition paper and the outcomes of the thematic dialogue, the TEC prepared its recommendations on linkages between the Technology Mechanism and the Financial Mechanism of the Convention, which are contained in document FCCC/CP/2014/6.

33. Based on its work on this matter, the TEC also developed key messages for COP 20 on climate technology financing, as presented in chapter III.D below.

34. In accordance with its rolling workplan, at its 9<sup>th</sup> meeting the TEC initiated a discussion on defining possible topics for policy brief(s) (TEC Brief(s)) on climate technology financing to be prepared in 2015. This work will be continued at the next meeting of the TEC.

#### **4. Enabling environments and barriers**

35. As one of the activities of its rolling workplan, the TEC held a workshop on strengthening national systems of innovation in developing countries, covering the entire technology cycle for climate technology, on 13 and 14 October 2014 in Bonn. The TEC organized the workshop to support its work on enabling environments for and barriers to technology development and transfer. The workshop consisted of three sessions: (a) setting the scene: national systems of innovation; (b) issues related to knowledge transfer between national systems of innovation; and (c) knowledge transfer mechanisms: enhancing collaboration. All of the workshop presentations and related documents are available on TT:CLEAR.<sup>11</sup> In accordance with its rolling workplan, the TEC will conduct further work in 2015 on enabling environments and barriers, taking into account the outcomes of the workshop on national systems of innovation.

#### **5. Technologies for adaptation and mitigation**

##### Technologies for adaptation

36. In accordance with its rolling workplan, the TEC held a workshop on technologies for adaptation in conjunction with its 8<sup>th</sup> meeting, in collaboration with the Adaptation Committee. The objectives of the workshop were to: (a) share experiences and lessons learned from the development and implementation of technologies for adaptation, in particular identifying barriers to and enabling environments for the successful implementation of adaptation technologies; and (b) identify potential areas of actions by the TEC and policy recommendations for the TEC to highlight in the development of TEC Briefs that can help to promote and accelerate the development and transfer of technologies for adaptation. A number of areas were discussed during the workshop, including factors for the successful implementation and replication of technologies, integrated approaches, the need for South–South transfer of know-how, and opportunities for scaling up technologies, technology assessment and capacity-building. Members of the Adaptation Committee and representatives of the GEF, private sector and non-governmental organizations participated in the event. The report of the workshop and all related documents are available on TT:CLEAR.<sup>12</sup>

37. Taking into account of the outcomes of the workshop, the TEC prepared two TEC Briefs on technologies for adaptation in consultation with the Adaptation Committee. They provide policymakers and other stakeholders with relevant policy recommendations to support the application of technologies for adaptation to climate change. The TEC Briefs

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<sup>11</sup> <[http://unfccc.int/ttclear/templates/render cms\\_page?s=events\\_ws\\_nsi](http://unfccc.int/ttclear/templates/render cms_page?s=events_ws_nsi)>.

<sup>12</sup> <[http://unfccc.int/ttclear/pages/ttclear/templates/render cms\\_page?s=events\\_workshops\\_adaptationtechs](http://unfccc.int/ttclear/pages/ttclear/templates/render cms_page?s=events_workshops_adaptationtechs)>.

that will be presented by the TEC at the joint side event at COP 20 are on the following topics:

- (a) Technologies for adaptation in the agriculture sector;
- (b) Technologies for adaptation in the water sector.

38. The TEC also initiated the identification of other areas for further work in collaboration with the Adaptation Committee. This work will be continued in 2015.

39. Based on its work on this matter, the TEC developed key messages for COP 20 on technologies for adaptation, as presented in chapter III.D below.

#### Technologies for mitigation

40. In accordance with its rolling workplan, the TEC initiated work on technologies for mitigation in 2014. The TEC selected the following area of work to be addressed in 2015, which will include the organization of a thematic dialogue and preparation of TEC Brief(s): distributed renewable energy generation. This topic will cover smart and mini grids and the integration of renewable energy therein, addressing urban and rural contexts in developed and developing countries alike, as well as related challenges and opportunities, enabling environments and barriers, legal and administrative frameworks, finance, capacity-building and grid codes, with a view to enhancing technology development and transfer for this mitigation sector.

41. It should be noted that this area of work responds to Parties' needs, as it is consistent with the findings of TNA reports (it is part of the most prioritized mitigation sector and subsector and among the most prioritized technologies) and is also in line with the key thematic areas with high mitigation potential addressed during the technical expert meeting process under the ADP, namely, renewable energy and energy efficiency.

42. The TEC will also consider addressing a second area of work related to technologies for mitigation (sustainable transportation) in 2016.

43. In addition, the TEC wishes to invite Parties to deepen the consideration of renewable energy deployment and energy efficiency improvement through the technical expert meeting process in 2015, including with the support of the TEC.

## **6. Collaboration with institutions and other stakeholders**

44. In accordance with its functions to seek cooperation with relevant international technology initiatives, stakeholders and organizations, and to promote coherence and cooperation across technology activities, the TEC actively interacts and collaborates with various institutions under and outside of the Convention and with technology stakeholders in order to help fulfil its overall mandate and achieve the objectives of the Technology Mechanism.

45. In 2014, the TEC sought to collaborate with institutions and other stakeholders through various means, including inviting Party observers and observer organizations to participate in meetings of the TEC; inviting experts to participate in workshops and a thematic dialogue; inviting representatives of observer organizations to participate in various task forces of the TEC; and collaborating and maintaining regular communications with institutions such as the Adaptation Committee, the CTCN, the GCF, the GEF and the SCF. It should be noted that the initiative of the TEC to involve representatives of observer organizations in TEC task forces and, starting with its 8<sup>th</sup> meeting, to make the reports of TEC meetings publicly available, was very positively received by the stakeholder community.

46. The TEC also participated in other meetings and events, including: the Second Forum of the SCF held on 21 and 22 June 2014 in Montego Bay, Jamaica; the special event of the Adaptation Committee and the 3<sup>rd</sup> meeting of the Durban Forum on capacity-building organized as part of the June 2014 sessions of the subsidiary bodies; and various meetings of the technical expert meeting process throughout the ADP sessions in 2014.

47. It should be noted that one member of the TEC participates in the task force on NAPs of the Adaptation Committee, and two members participated in the interim Executive Committee of the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts.

48. In addition, the TEC welcomed the organization of the side event that took place in conjunction with its 9<sup>th</sup> meeting and was organized by Ecofys, an operating agent of the International Energy Agency, and which addressed that agency's Implementing Agreement for Renewable Energy Technology Deployment.

## **7. Technology information platform**

49. Consistent with the relevant activity contained in the rolling workplan of the TEC, the secretariat presented, at the 8<sup>th</sup> meeting of the TEC, a redesigned and updated technology information clearing house (TT:CLEAR).<sup>13</sup> Taking into account the changing needs of technology stakeholders and the latest developments in website design, the new platform aims to enhance technology cooperation for action on climate change. In addition to further showcasing the outcomes of the work of the TEC, the platform contains a technology portal,<sup>14</sup> which includes a database of over 700 technology briefs and technology road maps on climate technologies and over 290 TNA project ideas compiled from TNA reports. The portal also includes a web page providing links to other relevant organizations, initiatives and databases.

## **C. New activities from the June 2014 sessions of the subsidiary bodies**

### **1. Evaluation of the Poznan strategic programme on technology transfer**

50. SBI 40 invited the TEC to evaluate the Poznan strategic programme on technology transfer with the aim of enhancing the effectiveness of the Technology Mechanism, and to report back to COP 20 through SBI 41.<sup>15</sup> At its 9<sup>th</sup> meeting, the TEC initiated consideration of the invitation and highlighted the importance of the Poznan strategic programme in scaling up the level of investment in the transfer of environmentally sound technologies to developing countries and the progress made by the GEF in this respect. The TEC further highlighted that important lessons could be drawn from the Poznan strategic programme of relevance to the operationalization of the CTCN, and stressed the need for synergy between the work of the Poznan strategic programme and the work of the CTCN.

51. Acknowledging that more time would be required to evaluate the Poznan strategic programme, the TEC agreed on the elements, process and timeline for finalizing the evaluation of the programme in consultation with the GEF. In conducting the evaluation, the TEC will examine key areas, such as the mandates of the Technology Mechanism and the Poznan strategic programme, and possible overlaps between activities undertaken under the Technology Mechanism and the programme. The TEC will provide a final report on the evaluation of the programme to the SBI and the COP in 2015.

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<sup>13</sup> <ttclear.unfccc.int>.

<sup>14</sup> <[http://unfccc.int/ttclear/pages/tech\\_portal.html](http://unfccc.int/ttclear/pages/tech_portal.html)>.

<sup>15</sup> FCCC/SBI/2014/8, paragraph 142.

## 2. Strengthening linkages with other organizations

52. SBSTA 40 and SBI 40 invited the TEC to further strengthen the linkages with organizations inside and outside of the Convention, as referred to in document FCCC/SB/2012/1, annex II, paragraph 3, which undertake work relating to enabling environments for and barriers to the development and transfer of technology, including those issues referred to in document FCCC/SB/2012/2, paragraph 35.<sup>16</sup> At its 9<sup>th</sup> meeting, the TEC took note of the invitation of the subsidiary bodies and agreed to continue working to strengthen linkages with those organizations.

## D. Key messages for the Conference of the Parties

53. Building on the work carried out in 2014, the TEC delivers the following key messages to COP 20:

(a) In regard to **technology needs assessments**:

(i) The TNA process should be improved to facilitate the implementation of the project ideas emanating from it. This can be done through the provision of technical assistance and finance to each TNA process, which should also aim to integrate economic, environmental and social aspects into the development of the TNA. This will help to ensure that the TNA process results in bankable (commercial and concessional) projects, which is one of the objectives of TNAs;

(ii) Stakeholders such as technology owners and developers should be encouraged to submit project proposals for technologies prioritized in TNAs with a view to sharing those proposals with potential investors;

(iii) Communication of technology action plans and project ideas identified by Parties in their TNA reports should be expanded in order to better engage national and international financial communities and enhance the potential of project implementation;

(iv) Technology implementation could benefit from intercountry cooperation, beyond the current regional training support, which could result in an improved coordination of TNAs and requests for international support. The CTCN could play a major role in such coordination, by helping to provide and/or suggest tools and catalyse financial support, thereby supporting national designated entities;

(v) As suggested by the Advisory Board of the CTCN, national designated entities should be encouraged to identify opportunities to coordinate with the national focal points for other UNFCCC processes, such as nationally appropriate mitigation actions, NAPs and low-emission development strategies. These processes should be linked to national planning processes and technology market potential. Such a role provides an opportunity to encourage the bodies and actors involved to align the processes and outputs of their work in a way that will enhance the prospects for successful implementation;

(b) In regard to **climate technology financing**:

(i) Project proponents face many challenges in securing financing for technology projects and programmes. Enhanced stakeholder collaboration can contribute to the establishment of appropriate enabling environments and align

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<sup>16</sup> FCCC/SBSTA/2014/2, paragraph 32.

finance, technologies and project planning to achieve economically, environmentally and socially sound projects and programmes that are implementable;

(ii) There is a need to enhance coherence between international institutions, given that different criteria and evaluations of international climate finance and technology support can lead to increased burdens on developing countries' limited institutional capacity to access international finance;

(iii) There is a need to integrate technology and financial expertise to address risks, both real and perceived, in order to enhance the economic soundness of climate technology projects;

(iv) Past experiences from international financial institutions show that the key elements for successful climate technology proposals are their economic, environmental and social soundness; a demonstrated capacity to deliver impact; the ability to be replicated and scaled up; and stakeholder involvement;

(v) The adaptation and mitigation benefits of technology projects in the earlier stages of the technology cycle may be difficult to quantify and measure. The operational entities of the Financial Mechanism of the Convention should take this into account in the criteria for assessing such projects;

(c) In regard to **technologies for adaptation**:

(i) Prioritization of technologies for adaptation that enhance resilience should take into consideration vulnerability and adaptation assessments undertaken during the NAP process;

(ii) Technologies for adaptation that have mitigation co-benefits should be identified, encouraged and promoted;

(iii) Effective coordination and integration of technologies for adaptation in cross-sectoral planning and policy formulation by local and national governments is essential to ensure the implementation of appropriate adaptation actions;

(iv) The integration of hardware, software, and orgware<sup>17</sup> is necessary and should be supported by appropriate policies;

(v) Local stakeholders should be involved and empowered to enable the replication and improvement of local solutions and thus promote the sustainable application of technologies for adaptation;

(vi) Parties are encouraged to share experiences and promote regional and international cooperation on successful implementation of policies and measures related to technologies for adaptation, including South–South cooperation, to catalyse the replication and scaling-up of these actions.

## **IV. Report on the activities and performance of the Climate Technology Centre and Network in 2014**

### **A. Work of the Advisory Board**

54. The Advisory Board of the CTCN held its 3<sup>rd</sup> and 4<sup>th</sup> meetings in 2014. At its 3<sup>rd</sup> meeting, held from 19 to 21 March 2014 in Copenhagen, Denmark, the Advisory Board

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<sup>17</sup> “Orgware” usually refers to the ownership and institutional arrangements pertaining to a technology.

unanimously endorsed Mr. Jukka Uosukainen as Director of the CTCN, in accordance with paragraphs 45–48 of the rules of procedure of the Advisory Board of the CTCN, and welcomed Mr. Fred Machulu Onduri as the new Chair, in line with paragraph 12 of the rules of procedure, and Mr. Matthew Kennedy as the new Vice-Chair.

## **B. Organizational structure of the Climate Technology Centre and Network**

### **1. The Climate Technology Centre**

55. All staff positions at the Climate Technology Centre, consisting of one director, five professional staff and two administrative staff, were advertised in 2013 with the aim of filling all positions by early 2014. Four out of the eight positions have been filled, including the director, three professional staff, and one administrative staff. All candidates were selected through a thorough competitive process in line with United Nations standards. In addition to these recruitments, UNEP and the United Nations Industrial Development Organization (UNIDO) will continue to provide in-kind support to the CTCN.

56. When its proposal to host the Climate Technology Centre was selected by the COP, UNEP was formally encouraged by Parties to collaborate with Det Norske Veritas (now called DNV GL). A strategic partnership was formally agreed between the CTCN and DNV GL in August 2014. DNV GL specifically supports the CTCN in the areas of knowledge management, monitoring and evaluation, capacity-building and private sector engagement.

### **2. The Climate Technology Network**

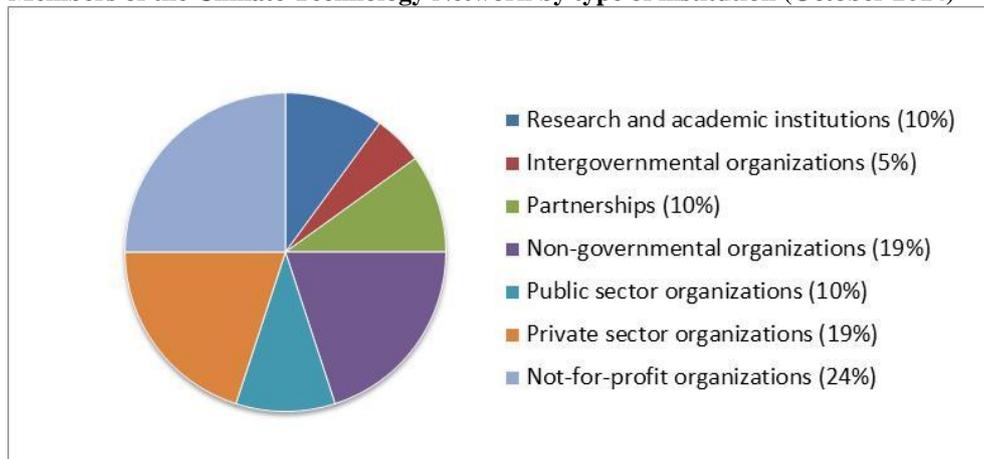
57. The COP requested the Climate Technology Centre to set up and facilitate a network consisting of institutions capable of responding to requests from developing countries related to technology development and transfer.<sup>18</sup> Procedures for accepting members for the Climate Technology Network were developed based on the outcomes of the 2<sup>nd</sup> Advisory Board meeting in September 2013.

58. A total of 24 applications for the Network had been received by the CTCN by 10 October 2014. Out of these, 20 have been accepted as members and one application was deemed not to fulfil all of the criteria. The distribution of Network members by type of institution is presented in figure 1.

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<sup>18</sup> Decision 1/CP.16, paragraph 123.

Figure 1  
**Members of the Climate Technology Network by type of institution (October 2014)**



59. To stimulate the development of its Network, the CTCN has directly reached out to about 150 institutions. A brief gap analysis conducted in September 2014 concluded that the reinforcement of expertise is required in every region, sector and institutional type. North Africa, sub-Saharan Africa and Western Asia were identified as particular regions requiring further reinforcement.

60. At its 2<sup>nd</sup> meeting, the Advisory Board also decided that the national designated entities nominated by Parties would become de facto members of the Climate Technology Network.

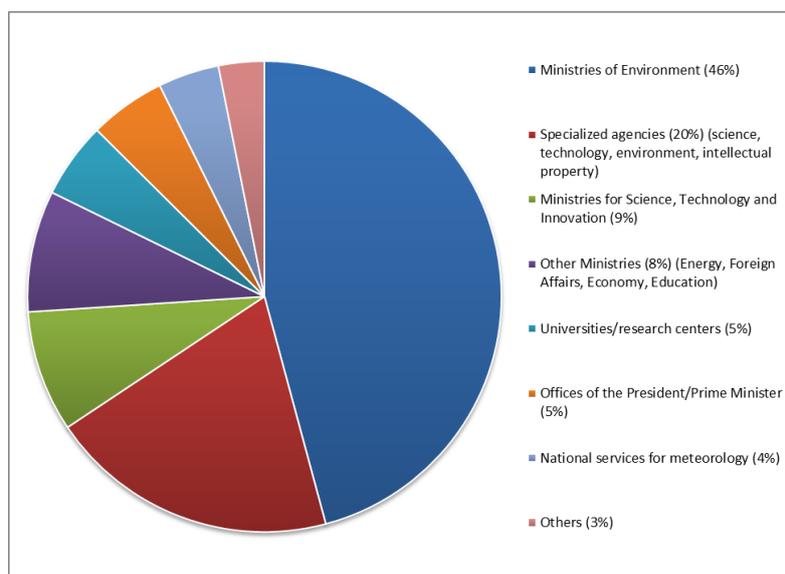
### 3. National designated entities

61. National designated entities serve as the domestic focal point for the development and transfer of technologies and as the point of contact with the Climate Technology Centre regarding requests from developing country Parties about their national technology needs. The COP invited Parties to nominate their national designated entities for the development and transfer of technologies, pursuant to decision 2/CP.17, annex VII, and decision 14/CP.18, paragraph 12.

62. As of October 2014, 96 countries had nominated their national designated entity, 14 from Parties included in Annex I to the Convention (Annex I Parties) and 82 from Parties not included in Annex I to the Convention (non-Annex I Parties).<sup>19</sup> The majority of national designated entities are located in ministries of environment (44 out of 96). The remaining entities are hosted in other ministries and government institutions (see figure 2 below).

<sup>19</sup> See <[http://unfccc.int/tclear/templates/render cms\\_page?TEM\\_ndes](http://unfccc.int/tclear/templates/render cms_page?TEM_ndes)>.

Figure 2  
**Distribution of national designated entities by type of host institution (October 2014)**



63. The success of the CTCN depends greatly on the effective engagement of Parties and their national designated entities. In view of the limited guidance and information available to Parties on national designated entities and their nomination, the CTCN prepared a guidance note for non-Annex I Parties describing the possible roles and responsibilities of such entities, and provided guidance and advice on the nomination of entities upon request by countries. Similarly, the CTCN has prepared a guidance note for Annex I Parties describing the possible roles and responsibilities of national designated entities from developed countries. The CTCN will continue to engage with national designated entities from both Annex I and non-Annex I Parties to ensure that their functions are well coordinated with those of the CTCN and to further ensure complementarity of efforts and reduced risks of overlap.

#### 4. Funding

64. By decision 2/CP.17, it was decided that the costs associated with the Climate Technology Centre and the mobilization of the services of the Network should be funded from various sources, ranging from the Financial Mechanism of the Convention to philanthropic sources, as well as financial and in-kind contributions from the host organization and participants in the Network.<sup>20</sup> Parties in a position to do so were invited to support the CTCN through the provision of financial and other resources.<sup>21</sup>

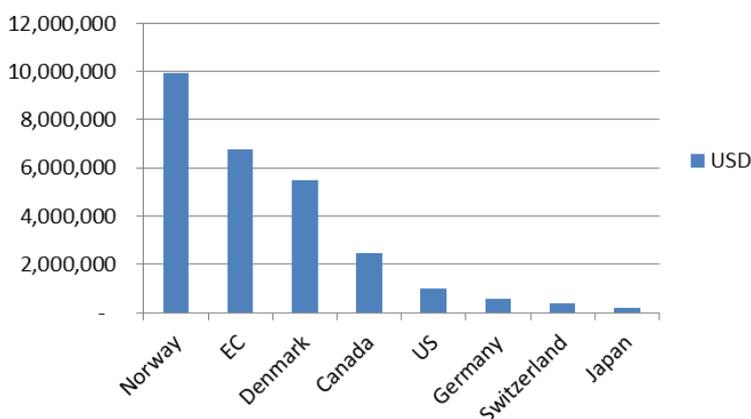
65. As at September 2014, the CTCN had secured a total of USD 26.6 million from bilateral sources, including the Governments of Canada, Denmark, Germany, Japan, Norway, Switzerland and the United States of America, and from the European Commission (see figure 3 below). The CTCN is also supported by financial and in-kind contributions from the UNEP-led consortium in the amount of USD 5.8 million. UNEP and UNIDO, as the co-leading organizations of the CTCN consortium, continue to engage with current and other potential donors, including the Governments of Finland, Germany, Japan,

<sup>20</sup> Decision 14/CP.18, annex I, paragraph 7.

<sup>21</sup> Decision 2/CP.17, paragraph 139.

Sweden, Switzerland and the United States of America, to secure additional financial contributions to the CTCN.

Figure 3  
**Funds committed by donors (September 2014)**



Abbreviations: EC = European Commission, US = United States of America.

66. As one of the funding mechanisms of the Convention, the GEF was also requested to support the operationalization and activities of the CTCN. UNEP and UNIDO, as the co-leading organizations of the CTCN consortium, have engaged in several discussions with the GEF to secure its support to the CTCN in conformity with decision 2/CP.17. The discussions culminated in the approval of a project identification form by the GEF. The GEF funding committed to this CTCN project amounts to USD 1.8 million (from the fifth replenishment of the GEF Trust Fund). As per GEF procedures, a project proposal is currently under development with a view to submission to the GEF by 12 June 2015. Requests to the CTCN that fulfil the GEF criteria are being identified for inclusion in the proposal. Linkages are also being established between the CTCN and the GEF regional projects for climate technology transfer and financing centres supported by regional development banks.

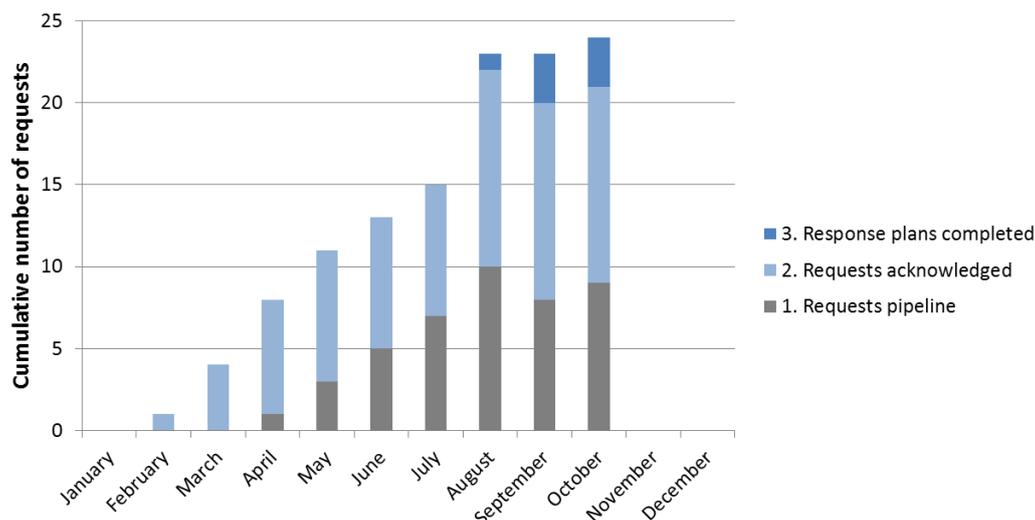
### C. The Climate Technology Centre and Network activities

#### 1. Function 1: responding to requests from developing countries

67. As at 10 October 2014, the CTCN had engaged with non-Annex I Parties regarding a total of 24 requests and response plans.<sup>22</sup> Both the number of requests and their progression by stage of development increased each month, and this trend is expected to continue (see figure 4 below). There is a positive correlation between the requests received and the countries that have participated in the CTCN regional training workshops for national designated entities.

<sup>22</sup> More potential requests are in the pipeline or under discussion, notably related to the generation of requests for the GEF proposal.

Figure 4  
**Status of Climate Technology Centre and Network technical assistance requests and responses (as at October 2014)**



68. These requests cover both climate change adaptation and mitigation, with five being related to adaptation, nine to mitigation and nine to both mitigation and adaptation. They are well distributed geographically, with six requests received from Latin American and Caribbean States, eight from Asia-Pacific States, eight from African States and one from Eastern European States. Two of the requests are multi-country requests.

69. The CTCN aims to be as flexible and accessible as possible in supporting countries in prioritizing and articulating their requests. In this regard, the CTCN decided to accept requests in all official United Nations languages. To the extent possible, other languages may be considered for informal interactions with national designated entities.

70. The CTCN is also liaising actively with global and regional development banks, the Adaptation Fund and the GCF to create modalities for the timely provision of CTCN technical assistance so as to enable large-scale climate financing.

## 2. Function 2: fostering collaboration and access to information

71. Design and development of the CTCN's knowledge management system has been organized in partnership with a CTCN consortium partner, National Renewable Energy Laboratories, and the CTCN strategic partner, DNV GL. The knowledge management system will serve national designated entities, government agencies and other climate technology stakeholders in developing countries by providing access to climate adaptation and mitigation technology resources, tools, reports and online training opportunities via an open data platform. The knowledge management system will also facilitate internal tracking of key CTCN services such as national designated entity requests, Network applications, and monitoring and evaluation of the key services provided by the CTCN.

72. A CTCN web requirements and strategy document was developed which describes the vision, strategies, design guidelines, definitions of roles, governance structure, and processes for the development of the knowledge management system. The CTCN also created a curated data catalogue of over 1,500 climate technology information resources and an automated tagging mechanism, developed in collaboration with the Renewable Energy and Energy Efficiency Partnership, to enable more efficient keyword searches by consistently categorizing and labelling resources in the CTCN data catalogue.

73. As part of its work to collaborate and link with other climate development knowledge platforms, the CTCN joined the Climate Knowledge Brokers Group, an alliance of leading global, regional and national knowledge brokers specializing in climate and development information. The Climate Knowledge Brokers Group aims to improve access to climate information through the coordination of online tools, projects, peer learning and capacity-building.

### **3. Function 3: strengthening of networks, partnerships and capacity-building**

74. During its first year of operation, the CTCN held seven regional training workshops for national designated entities with a view to building regional communities or networks for such entities, sharing perspectives with non-Annex I Parties and building their capacity to fulfil their role as the national focal point for CTCN activities in their respective countries.

75. The training workshops were held in Asia, anglophone and francophone Africa, Latin America and the Caribbean, Eastern Europe, the Middle East, and small island developing States (SIDS) in the Pacific, the Caribbean, the Atlantic Ocean and the Indian Ocean. The workshops were conducted in English, Spanish and French.

76. In total, 140 individuals have been trained to date, representing nominated national designated entities or climate change focal points from 119 countries (in Asia, Africa, Latin America, Eastern Europe, the Middle East, and from SIDS). Altogether, 51 national designated entities were represented in the workshops: 8 from Asia, 8 from anglophone Africa, 8 from Latin America and the Caribbean, 9 from francophone Africa, 2 from Eastern Europe, 2 from the Middle East and 14 from SIDS.

77. In view of their mandate to submit and manage requests, national designated entities in developing countries act as guarantor for the quality of requests submitted to the CTCN and, subsequently, for their positive impact in countries receiving assistance. The series of regional training workshops for national designated entities conducted by the CTCN highlighted gaps in many countries in the necessary capacity and resources for and expertise in enabling such entities to play their role. The CTCN is therefore exploring ways to provide targeted assistance to national designated entities to facilitate the generation and submission of requests that are in line with country priorities and projects, and aims to give priority in this regard to the least developed country Parties.

78. In addition, the CTCN consortium partners have been developing a series of online training resources, specifically targeted at national designated entities, which provide an overview of climate technologies for adaptation and mitigation purposes across various sectors.

### **4. Operationalizing the Climate Technology Centre and Network**

#### Communications and outreach

79. An analysis of the communications needs of the CTCN was conducted and an internal and external communications strategy was developed. Several promotional materials were designed, the online presence of the CTCN<sup>23</sup> (currently hosted by UNEP) was established and further developed, and the CTCN social media strategy was launched.

80. The CTCN was promoted at around 35 regional and international events throughout 2014. During the fortieth session of the subsidiary bodies, the CTCN and the TEC co-hosted a side event to showcase their coordinated and complementary work under the

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<sup>23</sup> See <[www.ctc-n.org](http://www.ctc-n.org)>.

Technology Mechanism. Press coverage of the CTCN over the course of 2014 included over 30 media items.

Monitoring and evaluation

81. The CTCN, in collaboration with DNV GL, is developing a monitoring and evaluation system to facilitate clear, efficient and timely reporting to the COP, Parties, the TEC, the CTCN Advisory Board, donors, UNEP and UNIDO. It will also serve to communicate the achievements of the CTCN to other interested stakeholders such as the media and civil society, and will enable the CTCN to monitor and evaluate its operational performance and the effectiveness of the UNEP/UNIDO consortium in delivering on the objectives of the CTCN. The monitoring and evaluation outputs will be made available via a dashboard through the knowledge management system, and compiled data will be used to create success stories of CTCN services.

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