

**Stakeholder Engagement Strategy (draft)
of the Climate Technology Centre and Network (CTCN)**

This document proposes approaches for the CTCN to engage with a diverse set of stakeholders according to the mandate that the CTCN has been given by the COP, and to generate arenas for interaction. The document aims to provide the basis for a CTCN framework and principles for stakeholder engagement.

1. Introduction

The CTCN aims to address barriers that hinder the development and transfer of climate technologies, thereby becoming a catalytic force in creating the enabling environment for reduced greenhouse gas (GHG) emissions and climate vulnerability, improved local innovation capacities, and increased investments in climate technology projects.

The CTCN facilitates the transfer of these technologies through three core services, which will be attuned to demands as they emerge:

- i. Provide technical assistance to developing countries to enhance transfer of climate technologies
- ii. Provide and share information and knowledge on climate technologies
- iii. Foster collaboration and networking of various stakeholders on climate technologies

The CTCN recognizes the need for greater stakeholder involvement to continue building and strengthening its capabilities and thus enabling countries to access the best available expertise in response to their needs. The CTCN will work towards increasing collaboration with business and industries (including from the private sector), public institutions, academia, non-governmental and civil society organizations, and research institutions to broaden its capabilities along its three core services and specifically to facilitate public-private technology transfer partnerships, twinning arrangements, North–South, South–South and triangular partnerships, including for cooperative research and development.

**United Nations Framework Convention (UNFCCC) Conference of the Parties (COP)
Guidance Informing the Strategy**

The CTCN is to “facilitate a network of national, regional, sectoral and international technology networks, organizations and initiatives with a view to engaging the participants effectively...” (1/CP16), including in the following functions:

- ✓ Stimulating and encouraging, through collaboration with the private sector, public institutions, academia and research institutions, the development and

transfer of existing and emerging environmentally sound technologies, as well as opportunities for North-South, South-South and triangular technology cooperation. (1/CP.16);

- ✓ Facilitating international partnerships among public and private stakeholders to accelerate the innovation and diffusion of environmentally sound technologies to developing country Parties Para 123 (c) (ii) Dec (1/CP.16) ;
- ✓ Stimulating the establishment of twinning centre arrangements to promote North-South, South-South and triangular partnerships, with a view to encouraging cooperative research and development (1/CP.16);
- ✓ Enhancing cooperation with national, regional and international technology centres and relevant national institutions (1/CP.16)
- ✓ Facilitating international partnerships among public and private stakeholders to accelerate the innovation and diffusion of environmentally sound technologies to developing country Parties(1/CP.16)
- ✓ Facilitating research, development and demonstration of new climate-friendly technologies for mitigation and adaptation, which are required to meet the key objectives of sustainable development. (2/CP.17).

In order to strengthen networks, partnerships and capacity building for climate technology transfer, the CTCN is also to:

- ✓ Catalyze and develop programmes to strengthen institutions and institutional capacities in developing countries (25/CP.19)
- ✓ Catalyze and support forums conducted by the Network to promote public-private partnerships and partnerships between relevant organizations to advance technology RD&D (25/CP.19)
- ✓ Catalyse forums to leverage resources from relevant agencies and centres and promote public and private investment (domestic and international) in the development and deployment of technologies (25/CP.19)

Finally, COP guidance states that in addition to funding from the financial mechanism of the Convention and bilateral and multilateral sources, the CTCN can seek funding from private sector and philanthropic sources (2/CP.17).

Although the CTCN gives guidance to engage a broad range of stakeholders, it is clear from the COP decisions listed above that the private sector and academia and research institutions were envisioned to have a significant role in contributing to the activities of the CTCN. The private sector also was foreseen to have the added role of being a potential funding source, through both financial and in-kind contributions to the CTCN. Although civil society was not mentioned as frequently in COP text regarding the CTCN, it sent a clear message that civil society has expertise on specific matters that should be tapped when needed.

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To complement the CTCN's activities to fulfil the above mandates, the COP decision covering constitution of the Advisory Board requested that three representatives of UNFCCC observer organization constituencies participate in the CTCN's Advisory Board, in particular:

- environmental non-governmental organizations (ENGOs),
- business and industry non-governmental organizations (BINGOs)
- research and independent nongovernmental organizations (RINGOs), with relevant expertise in technology, finance or business. (14/CP.18)

At its 5th CTCN Advisory Board meeting, Board members acknowledged that while engagement with these three constituencies will need to be tailored to their uniqueness at times, greater emphasis should be placed on more resource efficient engagement of all stakeholders together when there are common themes among the stakeholder communities. The structure of this stakeholder engagement plan follows this guidance provided by the Advisory Board.

2. Objectives

The overarching objective of the stakeholder engagement plan is to ensure that “the CTCN will consist of a Network with the participation of the relevant institutions capable of responding to requests from developing country Parties related to technology development and transfer, including national technology centres and institutions; regional climate technology centres and networks; intergovernmental, international, regional and sectoral organizations, partnerships and initiatives that may contribute to technology deployment and transfer; and research, academic, financial, non-governmental, private-sector and public-sector organizations, partnerships and initiatives” (2/CP.17).

Successful engagement with such a variety of organizations and actors will not always be adequately achieved by a singular approach or method and it is in this regard that parts of this stakeholder engagement plan will have subsections specific to research and independent non-governmental organizations or RINGOs (considered here to include research institutions and universities), environmental non-governmental organizations or ENGOs (considered here to represent civil society), and business and industry non-governmental organizations or BINGOs (defined here as equivalent to the private sector and referring to different organizations and entities working for profit) and their engagement with the CTCN, beginning with engagement objectives.

2.1 Research and Independent NGO (RINGO) Engagement Objective

The CTCN aims to increase its collaboration with universities and research institutions, both from developed and developing countries, to foster an enabling environment for collaborative research and facilitate timely flows of relevant knowledge and experience from universities and research institutions to the CTCN.

2.2 Environmental NGO (ENGO) Engagement Objective

The CTCN seeks to collaborate with environmental and other non-governmental organizations to ensure that civil society organizations working on climate technologies

share their views and opinions about the climate technology issues in developing countries and how CTCN can help addressing these, and that they engage in CTCN activities as appropriate.

2.3 Business and Industry NGO (BINGO) Engagement Objective

The success of the CTCN will in part be measured by its ability to partner with a wide range of stakeholders and makes direct references to the private sector, a complex mix of sector-based and geographically competing players.

Access to knowledge, access to technologies, and access to financing are all critical components in delivering on sustainable development and gender equality. Mobilizing business and industry to deliver sustainable development outcomes and to engage in knowledge and technology sharing is of fundamental importance for fulfilling CTCN's mission.

This strategy defines the private sector as a synonym of business and industry, including Small and Medium-sized Enterprises (SMEs), large corporations, banks and financial institutions and indeed any kind of profit based-business modality. In addition, it also considers non-profit private sector organizations and associations that represent the (profit-based) interests of specific business sectors.

3. Engagement Strategy

To date, CTCN collaboration with stakeholders includes the following:

- Regional expert dialogue meetings (Bangkok, Cartagena, Midrand and Dakar, Washington D.C., and Brussels) organized by the CTCN to receive expert views from stakeholders that were used as inputs to designing the CTCN;
- CTCN NDE Regional workshops and fora to build capacity of NDEs with assistance of stakeholders;
- CTCN Network members supported the provision of CTCN services to developing countries;
- Participation in relevant stakeholder's for a (for example, research and businesses driven events
- CTCN Advisory Board meetings where observers represented many stakeholders;

The above activities reflect early interactions and collaboration with stakeholders. Drawing on these experiences, the stakeholder engagement strategy has been articulated around the three CTCN main functions and will engage stakeholders in the following areas:

- 1) **Information and Knowledge:** promote two-way exchange of knowledge on the work of the CTCN and of stakeholders to increase awareness and opportunities related to climate technologies
 - a. Establishment of dedicated information platform in the CTCN Knowledge Management System (KMS) to disseminate information on (i) developing countries' objectives, priorities, and needs relating to climate technologies, (ii)

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- results and lessons learned for informed decision-making and investments, (iii) financing opportunities for collaborative projects;
- b. Development and dissemination of knowledge products and capacity building materials on specific climate technologies or sectors, such as webinars, online courses;
 - c. Development of tailored information materials on CTCN services and possible collaboration with peer institutions to increase the visibility of the CTCN and stakeholders;
- 2) **Partnership and Collaboration:** stimulate R&D collaboration, partnerships or twinning arrangements between and among the CTCN and institutional stakeholders,
- a. Facilitate the participation of staff from stakeholder organizations in the CTCN Secondment Programme
 - b. Matchmaking support for the development, deployment and dissemination and piloting of new climate-friendly technologies for mitigation and adaptation
 - c. Matchmaking support to increase collaboration with stakeholders from the public and private sector
 - d. Organization / co-sponsorship of joint meetings (workshops, conferences, seminars, technology fairs) related to climate technologies
 - e. Targeted support to developing countries, with a particular focus on LDCs and SIDS, to enable them to better serve their communities and where applicable, become regional or sub-regional hubs for climate technologies; and support to developing countries to mainstreaming climate technologies in their agendas.
- 3) **Technical assistance:** facilitate participation of stakeholders into the Network to provide direct input in support of technical assistance requests.
- a. Identification of potential needs for technical assistance in developing countries, especially in LDCs, that could be addressed through submitting a request for assistance to the CTCN.
 - b. Targeted outreach to stakeholders to encourage them to join the Network and thereby mobilize their technical expertise in the preparation and implementation of responses to request for technical assistance, through the Climate Technology Network

Research and Development (R&D)

Stakeholder engagement for Research and Development (R&D) is emphasized here because it refers to the combined efforts of both research institutions and private sector actors to produce knowledge for innovation and new products on a particular area. Research and development refers often to technological advance and discovery that occurs within the private sector, but it often means ongoing interactions between public and private research teams. For CTCN, engagement with Research and Development actors includes strategic engagement with both public and private research institutions and private sector companies dedicated to research and to development and implementation of new technologies for addressing climate change mitigation and adaptation.

Civil Society

It is important to note that there are many stakeholders that fall under the civil society category. Under the UNFCCC process, official observer groups under this category include Women and Gender Constituencies; youth NGO (YOUNGO), Farmers, local governments and municipal authorities (LGMA), International Indigenous People's Forum and ENGOs to name a few.

Given the CTCN Advisory Board representation from the RINGO, ENGO and BINGO communities as well as their significance mentioned earlier, this stakeholder engagement plan provides additional engagement strategies that are specific to these three particular communities.

3.1 RINGO Specific Engagement Strategy

To date, the CTCN has been collaborating with universities and research institutions in various ways, as follows:

- 10 out of 14 organizations¹ forming the CTCN Consortium are research institutions or universities, representing 70% of the total.
- 22% of the total Climate Technology Network membership are Universities or Research Institutions
- The CTCN has partnered with two universities (Georgetown University, Washington DC - USA and Science Po, Paris - France) for supervising applied research projects with M.A. students.

These activities, while important to set the basis for a meaningful collaboration with research institutions and universities, have been conducted in an *ad hoc* manner, and would benefit from being part of a more coherent and comprehensive engagement strategy.

In view of the above, and recognizing that in many developing countries the research sector is overcommitted and/or underdeveloped, and therefore often unable to play its essential role in the transfer of climate technology, the CTC aims to further develop its collaboration with universities and research institutions from both developed and developing countries in a way that responds to the needs expressed by these organizations, keeping into account the specificities of research institutions from Least Developed Countries (LDCs).

As a first step in this direction, the CTCN conducted a survey designed in consultation with the RINGO Advisory Board representative to help assess the needs of research institutions and universities related to climate technologies. 136 representatives from research institutions and universities located in both developed and developing countries participated in the survey.

¹ United Nations Environment Programme (UNEP)
United Nations Industrial Development Organisation (UNIDO)
Asian Institute of Technology (AIT) - Thailand
Bariloche Foundation (BF) - Argentina
Council for Scientific and Industrial Research (CSIR) - South Africa
The Energy and Resources Institute (TERI) - India
Environment and Development Action in the Third World (ENDA-TM) - Senegal
Tropical Agricultural Research and Higher Education Center (CATIE) - Costa Rica
World Agroforestry Centre (ICRAF) - Kenya
Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) - Germany
Energy Research Centre of the Netherlands (ECN) - The Netherlands
National Renewable Energy Laboratory (NREL) - United States of America
UNEP-DTU Partnership - Denmark
UNEP-DHI Partnership - Denmark

The survey enabled the CTCN to do a preliminary mapping of research institutions that are working on climate technologies within and outside the RINGO constituency. Around 70% of the 136 organizations surveyed focus predominantly their activities on climate technologies, with the majority of them focusing both on mitigation and adaptation, and having expertise on capacity building, policy and strategy planning, technology development, deployment and customizations, and climate vulnerability and impacts assessments.²

The results of the survey helped the CTCN understanding the needs, interests, and priorities of research institutions in collaborating with the CTCN, thereby facilitating the design and implementation of a CTCN engagement strategy with University and Research Institutions that is demand-driven, and takes into account the differences between institutions based in developed countries, in developing countries as well as in LDCs, SIDS and emerging economies.

The survey reveals a strong interest for collaboration with the CTCN in receiving information on and access support in the following areas:

- Technology demonstration and piloting to test a technology with end users and assess its value (i.e. piloting technology in a community, identifying country with best potential to implement the technology, matchmaking with the technology owner to demonstrate value of technology, establish demonstration centres, etc.)
- Knowledge sharing related to climate technologies, to promote research results and successes and access up-to-date information and knowledge on climate technologies
- Facilitation of collaboration with other research organizations and universities (i.e. twinning arrangements, applied research projects, exchange programmes, South-South collaborative research programmes, secondment of PhD students, secondment programmes)
- Creating relationships and collaboration with other key technology players, including from public and private sector, mainly to identify funding opportunities and support to deploy technologies (i.e. increase support to policy-makers to deploy technologies, support to fundraising, etc.)

RINGO Strategy Implementation

The implementation of the strategy will aim at fostering collaborative research on climate technologies that would enable participating institutions to share costs and coordinate research topics. The strategy will include recommendations for research institutions and university engagement, articulated around the three main CTCN

² Countries of origins: Mix of developed and developing countries

Countries most represented: USA, UK, Netherlands, India, Kenya, Canada, Australia, Bangladesh, Dominican Republic, Ethiopia, France, Germany, Ghana, Grenada, Iran, Mexico, Nigeria, Peru, Philippines, Spain, Switzerland, Uganda, Zambia.

Organizations: Universities and research institutions/Centres, with most or a fair amount of their work related to climate technologies (around 70% of the organizations), on both adaptation and mitigation.

functions raised earlier in section 3. Some specific actions that could be implemented include:

- a. Recommendations for deeper analysis of needs and priorities of universities and research Organizations from developing countries and of existing support received at the international level (CGIAR, SDSN, CDKN, etc.) to tailor the CTCN strategy and services;
- b. Recommendations for concrete ways of creating/facilitating partnerships, R&D collaboration, development of new collaborations and twinning arrangements of universities and research organizations to encourage cooperative research, sharing of research facilities and expertise, development and demonstration of new climate-friendly technologies for mitigation and adaptation and development of innovative research projects, including funding implications of proposed options;
- c. Recommendations to support the identification of potential needs for technical assistance regarding universities and research institutions in developing countries, especially in LDCs, that could be addressed through submitting a request for assistance to the CTCN. As an example, the CTCN is currently helping Chile build a Biodiversity Monitoring Network that brings together various research centres working on biodiversity at national level to facilitate decision-making and ultimately the development of effective climate change adaptation policies;
- d. Recommendations to mobilize the technical expertise of universities and research institutions in the preparation and implementation of responses to request for technical assistance, through the Climate Technology Network.

3.2 ENGO Specific Engagement Strategy

To date, CTCN collaboration with environmental non-governmental organizations includes the following:

- Bilateral dialogues with ENGO representatives during the 19th and 20st sessions of the UNFCCC COP, Subsidiary Body meetings, and at various regional events;
- Engagement with the ENGO representative of the CTCN Advisory Board.

The above activities reflect early interactions with ENGOs. CTCN is interested in having an increasingly structured dialogue with ENGO representatives. The ENGO Advisory Board representative was consulted to provide input regarding the perspectives of the ENGO constituency and possible further modalities of engagement.

The CTCN will continue to engage with the ENGO community directly at international events at least twice per year (e.g. COP, SBSTA). The ENGO constituency will also be invited to events hosted by the CTCN, such as regionally based NDE fora.

Based on feedback from the ENGO constituency, CTCN will continue to explore and define specific actions to facilitate (i) sharing of views and opinions from ENGOs about climate technology issues in developing countries and how CTCN can help address these; and (ii) engagement of ENGOs in CTCN activities, in line with its mandate, function and resources, that could be implemented in collaboration with non-governmental organizations, in particular through membership in the CTCN Network.

ENGO Strategy Implementation

CTCN seeks to ensure that ENGO working on climate technologies are sharing their views and opinions about the climate technology issues in developing countries and how CTCN can help addressing these, and are involved in CTCN activities as appropriate, particularly as Network Members and including provision of assistance in the preparation and implementation of responses to technical assistance requests from developing countries. CTCN seeks ENGO involvement in CTCN on its three main functions, mentioned above in section 3. As ENGO engagement within CTCN increases, specific actions that can be implemented include the development of :

- a. Recommendations for interactions between the CTCN and ENGOs to ensure that the concept of technology neutrality is embedded within the CTCN process of providing technical assistance to developing countries;
- b. Recommendations for potential collaboration between the CTCN and ENGOs for capacity building, education and networking activities;
- c. Recommendations on the types of meetings (workshops, conferences, seminars) and examples of meetings that the CTCN could participate in to increase opportunities of collaboration with non-governmental organizations;

3.3 BINGO Specific Engagement Strategy

To date, CTCN collaboration with business and industry sector includes the following:

- Bilateral dialogues with private sector actors during the 19th and 20st sessions of the UNFCCC COP, UN Climate Summit and at various regional events.
- Engagement at various initiatives supporting business and industry activities in developing countries (CTI-PFAN and WB/CTP).
- Engagement with international business organizations fostering engagement of the private sector for solutions to climate change (WBCSD-IEA and SDSN Low Carbon Technologies Partnerships Initiative (LCTPi).
- Dialogues across stakeholders on relevant CTCN private sector issues (Carbon Expo 2015; WSSF 2015).
- Participation at Road to Paris events targeted to engage private sector participation (Business Climate Summit 2015; French government activities).
- In addition, we have carried an in depth review of existing private sector engagement strategies from relevant actors with lessons for the CTCN.

Drawing from the early stages of outreach with business and industry actors, the results of the in depth review of existing mechanisms, and consultation with the CTCN's partners, this strategy proposes three key engagement modalities, and a set of recommendations for quality assurance, ongoing learning, and fostering of innovation and public private partnerships focused on developing countries, targeted to business associations and to small and medium enterprises, without neglecting outreach to large corporations and their local value chains.

BINGO Strategy

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The strategy is based on three major pillars: Thinking and learning; Enhancing network Membership, Mobilization, and Presence; and the creation of an opportunity space to leverage the learning into a long term private sector engagement mechanism.

The CTCN Private Sector Engagement Vision

The vision for the CTCN PSE strategy is to build capacity and maintain an effective partnership with the private sector at the national, regional, sectoral and international level, leading to enhanced actions on the development and transfer of environmentally sound technologies. This partnership will contribute to the CTCN's mandate towards technical assistance, knowledge sharing and fostering collaboration, while building a brand for business and industry highlight their sustainable development outcomes.

In order to enable this vision and fulfil the CTCN mandate from UNFCCC outlined above, the private sector strategy is based on three pillars, crosscutting the three main functions of the CTCN: Thinking and learning; Enhancing Network Membership, Mobilization, and Presence; and the creation of an opportunity space to leverage the learning into a long term private sector engagement mechanism.

The Three Pillars of the CTCN Private Sector Engagement Strategy³

The three pillars are:

- 1) ***Thinking and learning***: An ongoing process to enable in depth understanding, learning and knowledge retention for an optimal strategy responsive to changing needs and changing value propositions for both private sector actors and CTCN.
 - a. Learning through review of external good practice and from own experience;
 - b. Understanding, generating and refining value propositions targeted to different business formats and regional needs, with a focus on SMEs and business associations in developing countries;
 - c. Mapping of key actors, suitable engagement models and interventions, recognizing there is no single engagement approach that fits all contexts ;
 - d. Defining and identifying suitable engagement arenas and revise and adapt through ongoing learning;
 - e. Learning and retention of knowledge using CTCN Knowledge Management Tools;

³ The details for implementation of this strategy and its concrete deliverables are stated in the Private Sector Engagement Task Tactical Plan (under preparation).

- f. Identifying barriers and enablers for boosting local entrepreneurship and regional partnerships to inform engagement actions;
- g. Identifying conflicts of interest and solutions.

2) **Enhancing network Membership, Mobilization, and Presence:** Reaching out to business and industry with sectoral and geographically relevant modalities and messages for the purposes of servicing technical assistance and mobilizing action to fulfil the CTCN mandate , including:

- a. Facilitation and leveraging of business associations and other relevant business formats for network membership for informing CTCN request-response and providing technical assistance.
- b. Enhancing company web-profiles through linking private sector actors and their services to the CTCN technology database;
- c. Create engagement platforms and arenas with a particular focus on developing country SMEs and most relevant technologies for the CTCN;
- d. Selection of champions, especially from business associations, in developing countries and global actors to create a Consultative Group;
- e. Engagement with multinationals and corporations, in particular with their local value and supply chains in developing countries;
- f. Partnership building with relevant bodies, such as the World Business Council for Sustainable Development, the UN Global Compact, International Chamber of Commerce; the Sustainable Development Solutions Network, International Energy Association, and the UNFCCC BINGO constituency;
- g. Mobilization of and presence in regional engagement arenas with particular focus on enhancing interaction between CTCN stakeholders;
- h. Development of communication and outreach messages, methods and identification of spaces for enhancing interaction and learning across sectors, stakeholders, and geographies.

3) **Opportunity Space:** Creating face-to-face and virtual opportunities for both the private sector and other CTCN stakeholders to facilitate climate technology transfer.

- a. Creation of private sector engagement – CTCN two way e-learning hub and knowledge booster programme;
- b. Establish and maintain a virtual repository of best practices in private sector engagement;
- c. Identification of available market analyses and suitable business models for optimizing innovation and opportunities and meeting of consumer needs;
- d. Creation of matchmaking actions and partnerships;
- e. Innovation actions and links to innovation actors and activities related to climate technologies;

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- f. Identification of most relevant standardization needs to facilitate innovation, with a special focus on adaptation to climate change;
 - g. Identification of investment opportunities.

4. Summary

The plan puts in place an inclusive approach for engaging with all CTCN stakeholders while including constituency-specific measures to address the needs of some of the individual communities. Secondly, the plan acknowledges the cross cutting nature of research and development among the research institutions and the private sector to achieve advances in technology. Thirdly, the plan recognizes the somewhat different role that ENGOs and civil society has in the stakeholder engagement process from the roles of RINGOs and BINGOs.

Combining all three aspects of the plan results in a balanced approach to ensuring that all stakeholders are engaged in the CTCN with their strengths, leading to a more effective CTCN.

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