**UNEP GEF PIR Fiscal Year 2021**

Reporting from 1 July 2020 to 30 June 2021

# INSTRUCTIONS TO COMPLETE THIS PIR

1. Instructions in blue are directed to Task Managers / Administrative Officers
2. Instructions in red are directed to Project Managers and Executing Agencies
3. When filling up the respective cells, use the Normal style from the template. The text will look like this.

# 1. PROJECT IDENTIFICATION

# 1.1. Project details

This entire table is to be prepared by Task Managers

1. IDENTIFICATION

|  |  |  |
| --- | --- | --- |
| Identification Table | GEF ID.: 9452 | Umoja no.: |
| Project Title | Technology Needs Assessment Phase III (TNA Phase III) |
| Duration months | *Planned* | 31.03.2021: 36 months |
| *Extension(s)* | 30.09.2021: 12 months | 30.09.2022: 12 months |
| Division(s) Implementing the project | Economy Division, Climate Mitigation, Energy and Climate Branch |
| Name of co-implementing Agency  | N/A |
| Executing Agency(ies) | UNEP DTU Partnership (UDP) |
| Names of Other Project Partners | Environment and Development Action in the Third World (ENDA), Senegal; University of Cape Town, South Africa; Asian Institute of Technology (AIT), Thailand; Disaster Risk Reduction Center, University of the West Indies (UWI), Jamaica; Pacific Centre for Environment and Sustainable Development, The University of the South Pacific (USP), Fiji. |
| Project Type | Full Size Project |
| Project Scope | Global |
| Region | Global |
| Countries | Benin, Central African Republic, Chad, Djibouti, Guinea, Niger, Liberia, Malawi, Uganda, Sao Tome and Principe, Afghanistan, Myanmar, Nauru, Fiji, Vanuatu, Ukraine, Antigua and Barbuda, Dominica, Haiti, Jamaica, Suriname, Trinidad & Tobago |
| Programme of Work | PoW 2020-2021, Subprogramme 1 Climate Change b) Countries increasingly adopt and/or implement low greenhouse gas emission development strategies and invest in clean technologies(ii) Increase in the number of countries supported by UNEP that make progress in adopting and/or implementing low greenhouse gas emission development plans, strategies and/or policies |
| GEF Focal Area(s) | Climate Change Mitigation |
| UNSDCF / UNDAF linkages  | Global |
| Link to relevant SDG target(s) and SDG indicator(s) | Ensure access to affordable, reliable, sustainable and modern energy for all. 7.A By 2030, enhance international cooperation to facilitate access to clean energy research and technology, including renewable energy, energy efficiency and advanced and cleaner fossil-fuel technology, and promote investment in energy infrastructure and clean energy technology7.A.1 International financial flows to developing countries in support of clean energy research and development and renewable energy production, including in hybrid systems |
| GEF financing amount | US$ 6,210,000 |
| Co-financing amount | US$ 2,745,000 |
| Date of CEO Endorsement | March 27, 2018 |
| Start of Implementation | May 15 2018 |
| Date of first disbursement | 10 July 2018 |
| Total disbursement as of 30 June 2021 | *US$ 4,329,110.81* |
| Total expenditure as of 30 June 2021 | *US$ 3,451,001* |
| Expected Mid-Term Review Date | January 2020 |
| Completion Date | *Planned* | March 31 2021 |
| *Revised* | 30.09.2022 |
| Expected Terminal Evaluation Date | June 2023 |
| Expected Financial Closure Date | 30.09.2023 |

# 1.2. Project description

|  |
| --- |
| The Technology Needs Assessments Project supports developing countries determine their technology priorities for mitigating and adapting to climate change. The objective of the project is to provide participating countries targeted financial and technical support to prepare new or updated and improved TNAs, including Technology Action Plans (TAPs), for prioritized technologies that reduce greenhouse gas emissions, support adaptation to climate change, and are consistent with Nationally Determined Contributions and national sustainable development objectives. The project has one component 1: Technology Needs Assessments (TNA) and Development of Technology Action Plans (TAP), that will deliver two main outputs:* Output 1: Tools, methodologies and capacity building packages are further developed and applied to support the implementation of the TNA/TAP process
* Output 2: TNA and TAP reports completed, including project ideas, with national consensus on concrete actions for implementation.

UNEP DTU Partnership is the Executing Agency. For the implementation of the project, UNEP DTU Partnership works with regional centres in each of the regions (Latin America & Caribbean, Africa, Eastern Europe, and Asia) to support countries during the Technology Needs Assessment process and to create a greater awareness about technology needs of the countries at the regional level. The Technology Needs Assessments Project follows a country-driven approach. A designated national institution, in each of the participating countries, takes the lead, involving a wide range of stakeholders in the process. The project offers support to participating countries in the form of national, regional, and global capacity building workshops, technical support missions, and technical backstopping through electronic means.  |

# 1.3. History of project revisions

|  |  |  |
| --- | --- | --- |
| **Version** | **Date** | **Main changes introduced in this revision** |
| Revision 1 | September 2021 | Extend the project technical completion date to September 2021 to enable the project finalize delayed outstanding activities resulting from the COVID 19 disruptions |
| Revision 2 | September 2022 | Extend the project technical completion date to September 2022 to enable the project finalize delayed outstanding activities resulting from the COVID 19 disruptions |

# 2. OVERVIEW OF PROJECT STATUS

To be completed by UNEP Task Manager

* 1. 2.1. UNEP Subprogramme(s)

|  |  |
| --- | --- |
| Insert the Subprogramme(s) and biennia of the PoW to which the project contributes | **Specify the relevant Expected Accomplishment(s) & Indicator(s)*** Countries increasingly adopt and/or implement low greenhouse gas emission development strategies and invest in clean technologies
* Increase in the number of countries supported by UNEP that make progress in adopting and/or implementing low greenhouse gas emission development plans, strategies and/or policies
 |
|  To date 22 countries have finalized their TNA reports. 14 countries have completed their Barrier Analysis and Enabling Framework reports to put in place favourable measures that will facilitate the deployment of the recommended technologies and support countries in meeting their targets towards low carbon development paths. Majority of the countries are now preparing their Technology Action Plans (TAPs*)* as a prerequisite to the project concept development notes to obtain funding for the identified technologies*.*  |

* 1. 2.2. GEF Core Indicators (for all GEF 6 and later projects):

|  |  |
| --- | --- |
| GEF Core Indicators  | **Indicative expected Results**22Development and sectoral planning frameworks integrate measurable targets drawn from the MEAs |
| Enhance capacity of countries to implement MEAs (multilateral environmental agreements) and mainstream into national and sub-national policy, planning financial and legal frameworks | *Efforts on technologies have been identified by most developing countries as one of the main conditions for the implementation of their respective Nationally Determined Contributions (NDCs). The project builds on NDCs developed by participating countries, to support their implementation, revisions, as well as supporting other ongoing planning processes, under or outside the framework of the UNFCCC. Therefore the work is embedded in and tailored to country priorities and national planning processes. Several of the participating countries have already used their TNAs, even they are only half-through the project, in the preparation of BURs, updated NDCs, and so forth.* |
| Since the last reporting period, the TNA teams of the participating countries have participated in the third regional capacity building workshops through virtual means. Through these workshops, participants have build their capacity to prepare Technology Action Plans (TAPs) for technology transfer and diffusion of technologies for climate change mitigation and adaptation. Furthermore, the TNA teams have participated in virtual capacity building workshops on preparing project concept notes, including business plans. Participating countries are currently working on their Technology Action Plans, and, building on these, project concept notes. Most countries are in final stages of preparing their BAEF reports, and will soon start preparation of TAPs. In parallel, countries have started work on Project Concept Notes. |

* 1. 2.3. Implementation status and risk

|  |  |  |  |
| --- | --- | --- | --- |
|  | FY 2019 | FY 2020 | FY 2021 |
| PIR # | 1st  | 2nd  | 3rd  |
| Rating towards **outcomes** (section 3.1) | S | S | S |
| Rating towards **outputs** (section 3.2) | S | S | S |
| **Risk** rating (section 3.3) | L | M | M |

|  |
| --- |
| **Implementation status**The Participating countries are well on their way towards delivering the outputs that contribute towards achieving the project outcome. 22 national TNA structures are established, including nomination of TNA coordinators, contracting of national consultants, and establishment of TNA Committees and working groups. 1 out of 2 global workshops, all 11 regional capacity building workshops, and 22 out of 44 national capacity building workshop have been held. During this reporting cycle, the following virtual workshops have been held:* 4 virtual Regional workshops with focus on the articulation of technology Action Plans (TAPs), 1 for each region (Anglophone Africa, Francophone Africa, Caribbean, and Asia Pacific), in collaboration with the regional partners USP, AIT, UWI, ENDA and University of Cape Town
* Anglophone Africa on 1 and 4 September 2020 , 20 participants;
* Asia & Pacific on 3 and 8 September 2020, 19 participants;
* Caribbean on 8 and 14 September 2020, 21 participants;
* Francophone Africa on 26 and 30 November, 25 participants;
* 2 virtual capacity building workshops for concept note development with each 3 sessions, 14, 15 and 17 June. The workshops included participants from all countries/regions, however, due to time difference between the regions, the sessions were held twice a day to accommodate time differences across regions. The workshops had 69 country participants.

Several countries are already actively using their TNAs, and have included results in the preparation of BURs, NAPs, updated NDCs, etc. There is generally a very high awareness and recognition of the TNAs and TAPs both at the international level and within countries, and there is even further recognition of their usefulness for other national processes and creation of project pipelines. In addition, the awareness of how TNA Phase I and II countries continue to utilize their TNAs and TAPs for implementing government measures, and accessing funding for implementation of TAPs, all contribute towards reaching the stated outcome of TNA Phase III.The implementation of the project is progressing, however challenges are experienced mainly due to the COVID-19 situation. Most countries have periodically experienced lock down and have not had the possibility to conduct stakeholder consultations and meetings as planned, which are important activities in the TNA process. Hence, this situation has caused delays in the implementation of the project activities and affected the workplan, however, means to overcome these challenges have been implemented, including virtual capacity building, online technical support and virtual in-country stakeholder consultations, and most countries are now starting up work on preparing Technology Action Plans (TAPs) and Project Concept notes targeted funding institutions. Finally, the Project Cooperation Agreement with Myanmar has been terminated due to the in-country situation. Myanmar has concluded its TNA, BAEF and TAP reports, while pending activities include development of 2 project concept notes, sectoral policy & advocacy briefs, and national dissemination activities including a round table event. These pending activities will hence note be finalised. **Rating towards outcomes:** The rating is S since there is good progress on the expected outcome, considering the challenging COVID19 situation, and namely as follows: **Outcome 1:** Indicator 1 'National institutional structures for TNA':* All countries have set up their TNA institutional arrangements in their respective countries, including recruitment of local consultants. Country Implementation teams were formed: TNA steering committee; TNA coordinator; TNA team; and Working groups

Indicator 2 'National dissemination and donor engagement workshops with prepared advocacy materials'* Countries have just entered into this stage, in parallel with their completion of remaining deliverables, and in accordance with the workplan.

**Rating towards outputs:** The rating is S since there is good progress on both outputs, despite the challenging COVID19 situation, and namely as follows:Output 1: Tools, methodologies and capacity building packages are further developed and applied to support the implementation of the TNA/TAP process.* all planned new and updated methodologies, tools and guidance are completed
* training of trainers is completed.
* 50 % of national training workshops are completed, while the remaining will be done through virtual means during Sept-Dec 2021.
* regional capacity building workshops and training packages are completed, including additional training on concept notes. The last two rounds of workshops (TAPs and Project Concept Notes) were implemented through virtual means. The TAP workshops were held in September-November 2020, and the concept note workshops in June 2021.
* Advocacy and networking actions within countries are in process now that most countries have entered into TAP and concept note development stage.
* Regional and global level dissemination actions are ongoing with virtual events, news stories and webinars.

Output 2: TNAs and TAP reports completed, including project ideas, with national consensus on concrete actions for implementation.* All 22 countries have completed their TNA reports for both mitigation and adaptation;
* 14 countries have concluded their Barrier Analysis and Enabling Framework reports (BAEF), while 8 countries are still working on BAEFs;
* 3 countries (Myanmar, Ukraine and Liberia) have submitted their Technology Action Plans (TAPs), while 11 countries are still working on their TAPs. The remaining 8 countries are still to initiate work on TAPs.
* TNA results are continuously being communicated and disseminated, both through the TNA website [www.tech-action.org](http://www.tech-action.org) and social media channels, but also through the various virtual events with international partners such as the UNFCCC, NDC Partnership, GEF, GCF, and so forth. At the national level, countries are making outreach for example through national media channels (news papers, radio, tv) or through national TNA websites. More activities within countries are initiated during the TAP stage and when they have prepared their policy briefs.

**Overall risk rating:** The risk rating remains at Medium level. Work in countries have been slowed down due to lock downs and other restrictions, and TNA regional capacity building was moved to virtual means. It is a challenge since the interaction between trainers and participants is less on a virtual platform than it would be through in-person workshops, and peer learning and exchange also become limited through virtual interaction. This is further complicated since many country participants also experiences problems with internet connections, and hence have difficulties with engaging in virtual discussions. Together with the participating countries, UNEP, the Executing Agency, TNA regional centers, and participating countries, have found ways to overcome the main challenges though unavoidably progress are made more slowly than originally expected. Regular follow up with countries and preparation of virtual guidance for stakeholder consultations have been prepared and shared. Virtual technical support meetings with regional centres are offered on a continued basis. Closely monitoring of countries' progress through UDP requests to TNA coordinators about national progress and updated work plans to meet deadlines. With regards to the two other main risks identified, 'lack of strong political commitment' and 'that donors do notconsider country proposals emerging from TAPs', these are also being addressed and mitigated on a continuous basis and remains unchanged.  |

* 1. 2.4. Co-financing

|  |  |
| --- | --- |
| **Planned Co-finance****Total: USD 2,745,000****Actual to date:** **2,276,782, 31** **(December 2019)** | The planned co-finance is on track secured:* UDP’s cash co-finance ($225,000) is on track and is primarily to provide technical expertise (i.e. for design, review and improvement of trainings, tools and methodologies, review of reports/outputs, as well as preparation of a new TNA website).
* All countries have committed their in-kind co-finance – estimated at 25,000 USD/country over the duration of the project - through government staff time (national coordinator, members of the TNA committee and working groups) and the provision of logistical support (including venues) for stakeholder meetings, national TNA Steering Committee meetings.
* UNEP's in kind co-finance ($75,000) is on track. UNEP's co-finance mainly consists of staff time to support project management and offer strategic/technical advice/guidance (notably when issues arise with some of the participating countries).
* CTCN's co-finance ($1,870,000) is on track, and was already in December 2019 reported as $1,839,200

The most recent co-finance report available is from December 2019 only. |

* 1. 2.5. Stakeholder engagement

|  |  |
| --- | --- |
| **Stakeholder engagement** | The TNA project involves a wide range of stakeholders both at the national level in the 17 countries supported and those within partner institutions including TNA regional Centers, but also international institutions. The Pandemic situation has made it challenging for direct engagement with stakeholders, however, at both national and international levels, virtual platforms have supported the interactions. At national levels, countries have held stakeholder engagement workshops through virtual means, and through bilateral follow-ups, which have made it possible for countries to get buy in from their stakeholders. At the international level, virtual events have been organized to keep increasing awareness of TNAs and TAPs, and to further enhance the interaction between international community and national level TNA stakeholders in order to find common grounds for technology implementation. For example, on 30 September 2020 an online webinar "From technology needs to implementation: closing the finance gap", was organised with the UNFCCC Secretariat, PFAN and Sunfunder, and had participation of the TNA participating countries. In addition, an event with UNFCCC Secretariat, EBRD, NDC Partnership, PFAN, European Investment Bank, IEA and others, was held on 19 May 2021 to give TNA participating countries an opportunity to present their TAP ideas for these stakeholders.  The TNA project manager has participated in UNFCCC TEC meetings, CTCN Advisory Board meetings, and several meetings under the UNFCCC process, such as Structured Expert Dialogue, to present and share results and lessons learned from the TNA project. Finally, Two TNA Steering Committee meetings were organised with Steering Committee members, including GEF, UNEP, GCF, UNFCCC Secretariat, CTCN, and TNA country representatives. The first meeting was hold in October 2020 and the second was hold in June 2021.  |

* 1. 2.6. Gender

|  |  |
| --- | --- |
| **Gender mainstreaming** | The gender approach is mainstreamed into all capacity building modules, and an e-learning building on the TNA gender guidebook 'Conducting a gender-responsive TNA' is available online. Countries are currently preparing their BAEF and TAP reports, and the TNA methodology, through the gender guidebook, has specific recommendations for how to integrate gender aspects into these stages of the process.  As part of providing a detailed understanding of the barriers facing the technologies in each country, the BAEFs, in addition to examining the standard barriers identified, should include analyses of a) the gender-related barriers facing the technologies in each country, and b) a clear analysis of what rules, regulations and incentives are required to overcome gender-related barriers.The TAP reports should provide tangible evidence that the project will actively contribute to achieving specific gender equality, such as that set out in SDG 5. This includes the provision of evidence that the proposed implementation of technology covers the overall social context from a gendered perspective (Global Goals 2018a). The goals of incorporating gender into the TAP are:* to identify a set of concrete gender-related actions needed for the successful implementation of technology in the country
* an indicative budget for gender-mainstreaming as part of an investment proposal for each technology, which can be considered for funding by potential public and/or private funders.
 |

* 1. 2.7. Environmental and social safeguards management

|  |  |
| --- | --- |
| **Environmental and social safeguards management** | The project Component 1: Technology Needs Assessments (TNA) and development of Technology Action Plans (TAP) disseminates environmental and social safeguards through the tools and network activities that are disseminated and undertaken throughout the project cycle, and, the TNAs and TAPs that are produced ensure a strengthening of, and compliance with, Environmental and social safeguards in the technology transfer market. For example, TAPs outline activities and actions to mitigate GHG emissions and/or reduce the vulnerability of sectors and livelihoods to the adverse impacts of climate change, and therefore thus strengthen countries' environmental and social safeguards.With regards to social impacts, and incorporation of measures to allow affected stakeholders’ information and consultation, the TNA project in all participating countries are stakeholder driven, and countries report, in their deliverables, on how they have engaged and included stakeholders throughout the process. Each of the reports that are produced have dedicated sections describing how stakeholder consultations have been included in the process of, for example, identifying barriers and enablers to technology uptake. In addition, the Project Cooperation Agreements with each country include a clause on requirements of external auditing as a measure to avoid corruption. |

* 1. 2.8. Knowledge management

|  |  |
| --- | --- |
| **Knowledge activities and products** | Numerous outreach activities are continuously undertaken as part of project activities. During the reporting period, 15 news stories have been produced and uploaded to the TNA website [www.tech-action.org](http://www.tech-action.org), and 1 news letter has been sent out. We have organised 4 webinars and 2 UNFCCC Regional Climate Week virtual events on TNAs. During the reporting period, we published the following briefs and guidebooks: 1. Finance Guide for Implementation of Technology Action Plans (guidebook) (French and English)
2. Taxonomy of Climate Change Adaptation Technology (guidebook)
3. Taxonomy of Climate Change Adaptation Technology (brief)
4. Achieving the Sustainable Development Goals: exploring linkages with the Technology Needs Assessments (brief)

Finally, TNA presentations were made at UNFCCC events (1 presentation at Climate Dialogues, 1 presentation at Structured Expert Dialogue, 1 TNA event during LAC Regional Climate Week, 1 presentation during TEC22 meeting)[section will be uploaded into the GEF Portal] |

* 1. 2.9. Stories to be shared

|  |  |
| --- | --- |
| **Stories to be shared** | **Accelerating technology transfer**The information that TNAs provide about the potential, ability and scale of climate change technologies can play a unique role in the formulation and implementation of NDCs, through technology transfer. Actions identified in the Technology Action Plans (TAPs) highlight what needs to be done to activate robust market systems and the enabling conditions for technology transfer, diffusion and uptake.These actions can in turn strengthen longer-term strategies elaborated in NDCs and national adaptation plans (NAPs), as well as potentially increasing ambitions by making the means of implementation more concrete. Some countries have already directly scaled results from the TNA or TAP through policy. To illustrate, over the past year, 20 out of 22 countries from ongoing TNA Phase III project responded that the TNA is already directly linked with their NDC.****So how do TNAs and TAPs emerge in policies and processes?****In Ukraine, the TNA project was used as one of the inputs in developing the new and more ambitious economy-wide emission reduction target which they will update in their upcoming NDC. For Suriname, the eight technologies and actions within the Water, Infrastructure & Housing, and Agriculture sectors identified in the TNA are directly linked to how they intend to implement their NDC commitments. For Fiji, TNAs are listed as one of the processes that informed their NDC update from 2020.Furthermore, Dominica specified that the TNA results will appear directly in the country’s BUR as well as NAP. Nauru stated that the TNA results will ‘be used to inform the 3rd National communications’. In addition to the processes mentioned above, countries specify their national climate strategies and national plans and policies as key for the TNA process. Both in terms of taking these as staring points, but also for using the TNA and TAP to feed into strategic planning and implementation.More news stories on TNAs available at: <https://tech-action.unepdtu.org/news/>  |
|  |

# 3. PROJECT PERFORMANCE AND RISK

*Based on inputs by the Project Manager, the* ***UNEP Task Manager****[[1]](#footnote-2) will make an overall assessment and provide ratings of:*

1. *Progress towards achieving the project Results(s)- see section 3.1*
2. *Implementation progress – see section 3.2*

*Section 3.3 on Risk should be first completed by the Project Manager. The UNEP Task Manager will subsequently enter his/her own ratings in the appropriate column.*

* 1. 3.1 Rating of progress towards achieving the project outcomes

| **Project objective and Outcomes** | **Indicator** | **Baseline level** | **Mid-term target** | **End-of-project target** | **Summary by the EA of attainment of the indicator & target as of 30 June 2021** | **Progress rating[[2]](#footnote-3)** |
| --- | --- | --- | --- | --- | --- | --- |
| **Objective:** | Indicator 1: Number andstatus of TNAs andTAPs | Baseline 1: 0Second GenerationTNAs or TAPsendorsed bygovernments |  | Target 1: 22 SecondGeneration TNAs andTAPs endorsed bygovernments (by end ofproject) | All 22 countries have completed their TNA reports for both mitigation and adaptation. 14 countries have concluded their Barrier Analysis and Enabling Framework reports (BAEF), while 8 countries are still working on BAEFs. 3 countries (Myanmar, Ukraine and Liberia) have submitted their Technology Action Plans (TAPs), while 11 countries are still working on their TAPs. The remaining 8 countries are still to initiate their work on TAPs. | S |
| **Outcome 1: TNA process conducted by national stakeholders, and TNA/TAP results are available to be integrated into national planning****processes and to be****funded and implemented by interested stakeholders.** | Indicator 2: Number ofTAP follow-up projectconcepts with letters ofintents from theGovernment andfinanciers | Baseline 2: 0technology projectconcepts availablefrom TAPs |  | Target 2: 22 projectconcepts prepared basedon TAPs (by end ofproject) | All countries have now started to work, in parallel with the other deliverables, on preparing project concept notes. None is completed at this stage. | S |
| Indicator 1: Number ofnational institutionalstructures for TNAestablished, operationaland strengthened toconduct the TNA-TAPprocess | Baseline 1: 0national institutionalstructures for TNA |  | Target 1: 22 nationalinstitutional structuresfor TNA established,operational andstrengthened to conductthe TNA-TAP process(by end of project) | 22 national institutional structures (coordinators, steering committees, national consultants, and working groups) for TNA established, operationalized and in the process of being strengthened. 22 country teams each participated in 1 national training workshop and 4 regional training workshop. | S |
| Indicator 2: Number ofnational TNA/TAPdissemination and donorengagement workshopswith prepared advocacymaterials for policymakers, donors andinvestors | Baseline 2: 0nationaldissemination anddonor engagementworkshops withprepared advocacymaterials |  | Target 2: 22 nationaldissemination and donorengagement workshops(by end of project) | Countries have not yet reached this stage, since it is contingent on TAP completion, and TAP preparation is delayed due to COVID-19. | S |

* 1. 3.2 Rating of progress implementation towards delivery of outputs

| **Outputs/Activities[[3]](#footnote-4)** | **Expected completion date[[4]](#footnote-5)** | **Implementation status as of 30 June 2020 (%)** | **Implementation status as of 30 June 2021 (%)** | **Progress rating justification[[5]](#footnote-6), description of challenges faced and explanations for any delay** | **Progress rating[[6]](#footnote-7)** |
| --- | --- | --- | --- | --- | --- |
| COMPONENT 1 |
| OUTPUT 1: **Tools, methodologies and capacity building packages are further developed and applied to support the implementation of the TNA/TAP process.** |
| Output 1.1: Methodologies, guidance and tools for technology needs assessments and action plans covering both adaptation and mitigation aspects are updated/developed | September 2020 | 80 | 100 | Completed | S |
| Activity 1.1.1[[7]](#footnote-8): Improvements to existing methodologies, guidance and tools  | October 2019 | 85 | 100 | Completed | S |
| Activity 1.1.2: Development of new methodologies, guidance and tools | September 2020 | 85 | 100 | Completed | S |
| Output 1.2: Strengthened national capacities for conducting the TNA/TAP process | July 2022 |  | 75 |  | S |
| Activity 1.2.1: Training of trainers workshop | June 2018 | 100 | 100 | Completed | HS |
| Activity 1.2.2: National workshops | June 2022 | 50 | 50 | Due to COVID19 the second set of national technical support missions was postponed, and it has previously agreed with participating countries, through country consultations, that Technical support missions and national trainings, would be done once the COVID19 situation would allow for gatherings and international travel. As this now seems not to be feasible within the project implementation period, national trainings will be carried out through virtual means in Sept-Dec 2021 and for a few countries in 2022. | MS |
| Activity 1.2.3: Regional workshops | June 2021 | 33 | 100 | Completed | S |
| Output 1.3: Information, lessons learnt and results generated through TNA/TAP processes are disseminated and communicated | July 2022 | 50 | 75 | Ongoing since project start | S |
| Activity 1.3.1: Advocacy and networking actions to secure buy-in for TNA from senior officials and donors/financiers | July 2022 | 40 | 60 | Advocacy and networking at the national level has taken place through the national workshops and through activities by the national TNA teams. However, more activities will be initiated during the TAP stage. Due to COVID-19, the preparation of TAPs has been delayed, and hence the advocacy and networking activities, which build on TAPs, are also delayed.  | S |
| Activity 1.3.2: Regional and global level dissemination actions | July 2022 | 75 | 90 | 15 News stories, 4 webinars, and 1 newsletter have been published during the reporting period. 2 presentations at UNFCCC high-level events, 1 TNA event at LAC Regional Climate Week. | HS |
| OUTPUT 2: TNAs and TAP reports completed, including project ideas, with national consensus on concrete actions for implementation. |
| Output 2.1: TNA reports are developed/updated and approved | September 2019 | 100 | 100 | Completed | S |
| Activity 2.1.1: Setting up and preparing for the TNA Process | September 2019 | 100 | 100 | Completed | S |
| Activity 2.1.2: Identification and prioritization of sectors and technologies | September 2019 | 100 | 100 | Completed | S |
| Output 2.2: Barrier Analysis & Enabling Framework (BAEF) reports are developed and approved | October 2021 | 10 | 70 | 14 countries have concluded their Barrier Analysis and Enabling Framework reports (BAEF), while 6 countries are still working on BAEFs. | MS |
| Activity 2.2.1: Analyze the market conditions and diffusion barriers for each of the technologies selected under Output 2.1 | October 2021 | 75 | 90 | Most countries have completed this step. | MS |
| Activity 2.2.2: Identifying measures to create an enabling framework for the technologies selected under Ouput 2.1 | October 2021 | 50 | 70 | Most countries have just started on this step. | MS |
| Output 2.3: TAP reports (including project ideas) are developed and approved | May 2022 | 0 | 13 | 3 countries (Myanmar, Ukraine and Liberia) have submitted their Technology Action Plans (TAPs), while 11 countries are still working on their TAPs. | MS |
| Activity 2.3.1: Setting the TAP ambition | May 2022 | 0 | 60 | A majority of countries have completed this step, as they work in parallel with their BAEF on this. | MS |
| Activity 2.3.2: Identifying actions and activities to include in the TAP | May 2022 | 0 | 30 | Most countries are yet to start on this step. | MS |
| Output 2.4: Project concepts are developed and approved | July 2022 | 0 | 10 | Most countries have initiated work on concept notes in parallel with completion of other deliverables. | MS |
| Output 2.5: TNA results are communicated and disseminated | September 2022 | 0 | 85 | Ongoing since project start | S |
| Activity 2.5.1: National level communication and dissemination  | September 2022 | 0 | 80 | Ongoing since project start | S |
| Activity 2.5.2: Global level communication and dissemination | September 2022 | 0 | 90 | Ongoing since project start | S |

* 1. 3.3. Risk Rating

**Table A.** Risk-log

|  |  |  |  |
| --- | --- | --- | --- |
| **Risk** | **Risk affecting** | **Risk Rating** | **Variation respect to last rating** |
| Outcome / outputs | **CEO ED** | **PIR 1** | **PIR 2** | **MTR** | **PIR 3 (this PIR)** | **PIR 4** | **PIR 5** | **Δ** | **Justification** |
|  Political and government risk: Lack of strong political commitment to the TNA process as most developing countries do not perceive climate change as a national development priority issue; therefore, there is a risk of inadequate financial and human resource allocation, as well as a risk that less useful approaches are undertaken (includes risk that no good entry point is identified and TNA/TAP is implemented as a parallel process to national planning processes) | Outcome 1, output 1.1, 1.2, 1.3, 2.1, 2.2, 2.3, 2.4 and 2.5 | M-H | M | M | N/A | L |  |  | = L | The risk remains the same.All countries have established the institutional setup, including nomination of TNA coordinators. The overlap between TNA coordinators and NDEs increase the likelihood of political commitments. It is also evident that all countries have made links between their TNA work and other national planning processes, again emphasizing the national support to their TNA projects, and underlines that countries view TNAs as a priority activity to lay the groundwork for other activities and to use the TNAs and TAPs for accessing financial support for implementation of the identified priority technologies. Majority of countries have a direct link between their TNA and NDC, as well as other national processes (BUR, NAP, NatCom, etc). Most countries are in the process of finalizing the barrier analysis and enabling frameworks (BAEF reports), and the linkages and synergies between TNAs and TAPs with other national processes will be further enhanced now that countries reach the TAP and concept note preparation stage.  |
|  Institutional, governmental and organisational risk: Risk that donors do not consider country proposals emerging from TAPs | Outcome 1, output 1.1, 1.2, 1.3, 2.1, 2.2, 2.3, 2.4 and 2.5  | M | M | M | N/A | M |  |  | = M | The risk remains the same. Efforts are made, throughout the project execution, to involve decision makers, donors/development partners, financial institutions and business representatives in the TNA process, and to get their buy-in of the results. However, there is inevitably a risk that priorities of donors change during the process, and these may be out of reach for TNA stakeholders to influence. |
| The COVID-19 circumstances have caused a general delay in the project implementation schedule. In-country work has in most countries been put on hold with difficulties in stakeholder consultations and working sessions. Regional workshops have been postponed, and technical support missions have also been postponed until international travel between countries is allowed.  | Outcome 1, outputs 1.2, 1.3, 2.2, 2.3 and 2.4 |  |  | L | N/A | H |  |  | =H | Work in countries have been slowed down due to lock downs and other restrictions, and TNA regional capacity building was moved to virtual means. It is a challenge since the interaction between trainers and participants is less on a virtual platform than it would be through in-person workshops, and peer learning and exchange also become limited through virtual interaction. This is further complicated since many country participants also experiences problems with internet connections, and hence have difficulties with engaging in virtual discussions. However, the participating countries, UNEP, the Executing Agency, TNA regional centers, and participating countries, have found ways to overcome challenges though unavoidably progress are made more slowly than originally expected. Regular follow up with countries and preparation of virtual guidance for stakeholder consultations have been prepared and shared. Virtual technical support meetings with regional centres are offered on a continued basis. Closely monitoring of countries' progress through UDP requests to TNA coordinators about national progress and updated work plans to meet deadlines.  |
| **Consolidated project risk** |  | **N/A** | **M** | **M** | N/A | **M** |  |  | **M** |  |

**Table B.** Outstanding medium & high risks

List here **only risks from Table A above that have a risk rating of M or worse** in the **current** PIR

|  |  |  |  |
| --- | --- | --- | --- |
| **Risk**   | **Actions decided during the previous reporting instance (PIRt-1, MTR, etc.)** | **Actions effectively undertaken this reporting period** | **Additional mitigation measures for the next periods** |
| What | When | By whom |
| Institutional, governmental and organisational risk: Risk that donors do not consider country proposals emerging from TAPs | Support country-led consultations with potential donors (e.g. by using national donor coordination mechanisms), with a view to establish a clear understanding of donor funding policies, as well as securing technical support from donors in the formulation of project proposals from the TAPs.Develop tailored approaches to attract the interest and support from bilateral donors operating at country level. The project implementation plan in each country will include specific provisions for periodic donor consultations focused on TNA-TAP activities, status updates, and next steps closely linked to national donor coordination mechanisms existing or planned in the country.Advocate for the integration of TAPs intoNational Development Plans, Establishment of close links with donor-supported technology road-mapping and other processes that influence (and are influenced by) the direction of donor support initiatives in the country. | Many countries have involved the private sector in the TNA process through TNA working groups, but also envisage that the lobbying aspects in terms of funding will follow shortly on the basis of communication media that will be designed from TNA results.To increase donors awareness of TNA work, some countries have shared information through their institutions Facebook page, the ministry website or newsletters, Twitter, and others through TV and radio interviews with the local media. | 3 Countries (Liberia, Afghanistan, Ukraine) that have finalized their TAPs to identify and conduct consultations with financial institutions and partners by 31 December 2021 based on national roundtable discussions.11 countries with ongoing TAPs to identify the financial institutions they will hold consultations/ round tables by December 2021 as they finalize on their TAPs.22 countries to prepare their advocacy and policy briefs by June 2022 to circulate to the identified financial sector institutions22 countries to identify and submit project concept notes to the GCF and other financial institutions by June 2022 and hold discussions with relevant partners on integration of TAP results into funding proposals by August 2022.22 countries that have finalized their TAPs to organize national workshops by June 2022 to disseminate project results | December 2021; June 2022; August 2022 | Participating countries, TNA regional centers, Executing Agency |
| COVID-19 | Consultation discussions were held with the participating countries to agree on alternatives to the in-person regional workshops and technical support missions, and the following actions were decided in mutual agreement: 1. Virtual work sessions between the Executing Agency, the TNA regional centers and the 22 country teams.
2. Regional TAP training seminars will be held online. It will be approximately 2 hour sessions which will be recorded and made available on the website afterwards as well. The physical workshops are postponed and will then focus on financial aspects of TAPs and Project concept note development
3. Technical support missions, one to each country, during TAP preparation stage, when COVID-19 situation allows regional centre representatives to travel.
4. The Executing Agency has prepared guidance for countries to undertake stakeholder consultation by virtual means. However, due to poor internet connection in many countries, the national TNA teams have also used regular phone calls as a mean of involving stakeholders.

Furthermore, discussions on the extension of project was held with UNEP to revise the project to Sept 2021 to deal with the delays caused by the COVID situation.  | The following measures were implemented to mitigate risks and challenges imposed by the COVID-situation:1. several bilateral technical support sessions between each of the participating countries, executing agency, and regional centers.
2. 4 regional virtual workshops, each with 2 sessions, on preparation of TAPs, including all participating countries.
3. 2 virtual concept notes development workshops, each with 3 sessions, including all participating countries. These were, last year, planned as in-person trainings but were rescheduled to virtual means due to the COVID-situation.

Finally, a project revision to September 2022 has been made in order to shift budget from in-person workshops to additional in-country work, resulting in an increase of USD 10,000 per in-country budget. This will allow for further work on project concept notes and national policy and advocacy briefs. It also enables additional resources to each of the regional centers to provide further support to the participating countries in the final stages.  | The following additional measures have been established to ensure the completion of the project:1. Increase Regional centers' budgets to

1. provide additional technical support to 22 countries by June 2022 to overcome challenges imposed by the COVID situation2.collect information and prepare 6 case studies for sharing good experience from previous TNA phase I + II to the 22 TNA Phase III countries by April 20221. complete 22 national dissemination and donor engagement workshops by August 2022 either through in-person or virtual means as the COVID situation allows.
2. Hold the global experience sharing workshop, which will allow countries to meet and exchange experience to facilitate peer-learning by March 2022, virtual or in-person as the COVID situation allows.

A review of the progress will be undertaken in April 2022 to determine if the project will be able to deliver within the extended duration or another extension will be required. | April 2022; June 2022 | Participating countries, TNA regional centers, Executing Agency |

**High Risk (H):** There is a probability of greater than 75% that **assumptions** may fail to hold or materialize, and/or the project may face high risks.
**Significant Risk (S):** There is a probability of between 51% and 75% that **assumptions** may fail to hold and/or the project may face substantial risks.
**Medium Risk (M):** There is a probability of between 26% and 50% that **assumptions** may fail to hold or materialize, and/or the project may face only modest risks.
**Low Risk (L):** There is a probability of up to 25% that **assumptions** may fail to hold or materialize, and/or the project may face only modest risks.

1. For joint projects and where applicable ratings should also be discussed with the Task Manager of co-implementing agency. [↑](#footnote-ref-2)
2. Use GEF Secretariat required six-point scale system: Highly Satisfactory (HS), Satisfactory (S), Marginally Satisfactory (MS), Marginally Unsatisfactory (MU), Unsatisfactory (U), and Highly Unsatisfactory (HU). [↑](#footnote-ref-3)
3. Outputs and activities (or deliverables) as described in the project logframe (and workplan) or in any updated project revision. [↑](#footnote-ref-4)
4. The completion dates should be as per latest workplan (latest project revision). [↑](#footnote-ref-5)
5. As much as possible, describe in terms of immediate gains to target groups, e.g. access to project deliverables, participation in receiving services; gains in knowledge, etc. [↑](#footnote-ref-6)
6. To be provided by the UNEP Task Manager [↑](#footnote-ref-7)
7. Activities (or deliverables) may be included for reference, but the rating should focus on output delivery [↑](#footnote-ref-8)