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**Subsidiary Body for Scientific and Technological Advice**

**Thirty-third session**

**Cancun, 30 November to 4 December 2010**

Item 4 of the provisional agenda

**Development and transfer of technologies**

**Subsidiary Body for Implementation**

**Thirty-third session**

**Cancun, 30 November to 4 December 2010**

Item 8 of the provisional agenda

**Development and transfer of technologies**

**Report of the Expert Group on Technology Transfer**

**Note by the Chair of the Expert Group on Technology Transfer**

*Summary*

This note reports on the work of the Expert Group on Technology Transfer (EGTT) in the period from June to November 2010, conducted in accordance with its updated two-year rolling programme of work for 2010–2011. It covers the outcomes of the intersessional activities conducted by the EGTT between the thirty-second and thirty-third sessions of the subsidiary bodies, including its sixth regular meeting held on 19–20 November 2010 in Bonn, Germany.

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## **I. Introduction**

### **A. Mandate**

1. The Conference of the Parties (COP), by its decision 3/CP.13, paragraph 3, agreed to reconstitute the Expert Group on Technology Transfer (EGTT) for a further five years, with the objective of enhancing the implementation of Article 4, paragraph 5, of the Convention and advancing the development and transfer of technologies under the Convention. The terms of reference of the EGTT, contained in annex II to decision 3/CP.13, specify that the EGTT shall provide a report at each session of the subsidiary bodies with a view to seeking guidance for further actions.

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

2. This note reports on the work of the EGTT in the period from June to November 2010, conducted in accordance with its updated two-year rolling programme of work<sup>1</sup> for 2010–2011. It covers the outcomes of the intersessional activities conducted by the EGTT between the thirty-second and thirty-third sessions of the subsidiary bodies, including its sixth regular meeting, held on 19–20 November 2010 in Bonn, Germany, in particular its reports on collaborative research and development (R&D)<sup>2</sup> and on the regional training programme on preparing technology projects for financing<sup>3</sup> and its internal working papers on operational modalities for the implementation of the proposed Technology Mechanism, as described in paragraph 7 below, and on intellectual property rights (IPRs).

### **C. Possible action by the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation**

3. The Subsidiary Body for Scientific and Technological Advice (SBSTA) and the Subsidiary Body for Implementation (SBI) may wish to take note of the information in this report and consider the recommendations of the EGTT on possible follow-up actions in various areas, and to determine any necessary further actions arising from them, as appropriate.

## **II. Organizational matters**

### **A. Membership of the Expert group on Technology Transfer**

4. During 2010, the following change in the membership of the EGTT was proposed and has taken effect: replacement of Ms. Margaret E. Martin (Canada) by Ms. Susan Weston (Canada).

### **B. Nomination of new members**

5. The terms of reference of the EGTT stipulate that the members of the EGTT shall be nominated by Parties for a period of two years and be eligible to serve two consecutive

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<sup>1</sup> FCCC/SB/2010/INF.1, annex 1.

<sup>2</sup> FCCC/SBSTA/2010/INF.11.

<sup>3</sup> FCCC/SBSTA/2010/INF.6.

terms. Half of the members nominated initially shall serve for a period of three years, taking into account the need to maintain the overall balance of the group. Every year thereafter, half of the members shall be nominated for a period of two years.

6. In line with this procedure, Parties are requested to nominate or confirm, as appropriate, 10 members of the EGTT for 2011 and inform the secretariat of these nominations at the sixteenth session of the COP. The list of current members of the EGTT, including the length of their terms of membership, is presented in annex I.

7. In electing the new members of the EGTT for 2011, the SBSTA and the SBI may wish to take note of the ongoing deliberation among Parties under the Ad Hoc Working Group on Long-term Cooperative Action under the Convention (AWG-LCA) on the possible establishment of a Technology Mechanism, comprising the Technology Executive Committee (TEC) and the Climate Technology Centre and Network, at COP 16. Without prejudging the outcome of the discussion among Parties and the decision of the COP on this matter, Parties should be cognizant that the mandate of the EGTT may end at COP 16.

### **III. Implementation of the updated rolling programme of work of the Expert Group on Technology Transfer for 2010–2011**

8. The SBSTA and the SBI, at their thirty-second sessions, endorsed the updated rolling programme of work of the EGTT for 2010–2011.<sup>4</sup>

#### **A. Areas of the programme of work updated in the light of the outcomes of COP 15**

##### **1. Operational modalities of the proposed Technology Executive Committee and the proposed Climate Technology Centre and Network**

9. The updated rolling programme of work of the EGTT for 2010–2011 includes an activity to undertake preliminary work to elaborate options for the operational modalities of the proposed Technology Executive Committee and the proposed Climate Technology Centre and Network. At the thirty-second sessions of the subsidiary bodies, Parties agreed that there would be no formal documents on this matter prepared for SBSTA 33 and SBI 33 and that the results of the work of the EGTT on options for operational modalities would remain an internal working paper within the EGTT.

10. The work of the EGTT on operational modalities aims to advance the thinking on operational modalities to help inform Parties on their ongoing deliberations on this matter under the AWG-LCA. The EGTT has exchanged views among its members and solicited input and experience from relevant partner organizations, including the private sector, as specified in its programme of work. The EGTT has explored some options following a menu approach for the operational modalities of the TEC and Climate Technology Centre and Network. At its sixth meeting the EGTT noted that its working paper on this matter is a living document that Parties may wish to draw upon once some pending issues have been clarified.

11. The working paper contains a wide range of information on options for the operational modalities in the operation and governance of the TEC and the Climate Technology Centre and Network. As the discussion on such operational modalities is still evolving, the EGTT noted at the sixth meeting that its work on this matter could help inform subsequent work that Parties may wish to undertake once the Technology Mechanism has been established by the COP. The paper would be made available through

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<sup>4</sup> FCCC/SBSTA/2010/6, paragraph 26, and FCCC/SBI/2010/10, paragraph 98.

the UNFCCC technology information clearing house TT:CLEAR for this purpose.<sup>5</sup> The EGTT stressed that the document remains a working-level document and does not endorse or recommend any of the specific proposals therein. The EGTT strongly recommended that a workshop be organized to solicit ideas and inputs from Parties and relevant stakeholders, including intergovernmental organizations, academia and the private sector and that the paper be used as a background paper to facilitate the discussion at the workshop.

## 2. Stocktaking paper on the role of intellectual property rights in technology transfer

12. The updated rolling programme of work for 2010–2011 of the EGTT includes an activity to prepare a stocktaking paper on the role of IPRs in technology transfer. At the thirty-second sessions of the subsidiary bodies, Parties agreed that the results of the work of the EGTT on IPRs should remain an internal working paper of the EGTT.

13. The internal working paper provides a range of views of the role of IPRs in technology transfer from both theoretical and practical perspectives. It provides an overview of current IPR practices drawing upon experiences from various sectors.

14. The paper contains a wide range of useful information and case studies. The EGTT at its sixth meeting noted that this paper enhanced understanding among its members on current international and national frameworks on IPRs and their role in technology transfer. As the discussion on IPRs is still unresolved under the AWG-LCA, the need for any future further work on IPR issues could be reconsidered, as appropriate.

## 3. Background paper on options for encouraging the setting up or strengthening of national systems of innovation

15. In response to a request<sup>6</sup> by the COP at its thirteenth session, the EGTT included in its updated programme of work the preparation of a background paper to promote information sharing, including through consideration of options for encouraging the setting up or strengthening of institutions such as national systems of innovation that could lead to the development of technologies in developing countries and countries with economies in transition.

16. At its sixth meeting, the EGTT expressed its appreciation to the secretariat for preparing the background paper. The paper aims to frame the concept of national systems of innovation, with a view to identifying possible follow-up activities. It presents an overview of the concept of national systems of innovation and the current practices of national governments and various international organizations in strengthening national systems of innovation. It further identifies possible areas of focus that could be considered for possible follow up actions. The background paper is available on TT:CLEAR.<sup>7</sup>

## B. Other areas of work

### 1. Technology needs assessments

17. At the sixth regular meeting of the EGTT, the representative of the United Nations Development Programme (UNDP) presented the updated *Handbook for Conducting Technology Needs Assessment for Climate Change*<sup>8</sup> (hereinafter referred to as the updated

<sup>5</sup> Available at:

<[http://unfccc.int/ttclear/jsp/EGTTDoc/EGTT\\_Modalties\\_draft\\_working\\_paper\\_4%20November.pdf](http://unfccc.int/ttclear/jsp/EGTTDoc/EGTT_Modalties_draft_working_paper_4%20November.pdf)>.

<sup>6</sup> Decision 3/CP.13, annex 1, paragraph 21 (b).

<sup>7</sup> Available at:

<<http://unfccc.int/ttclear/jsp/EGTTDoc/National%20systems%20of%20innovation%20v7.pdf>>.

<sup>8</sup> Available at <<http://unfccc.int/ttclear/pdf/TNA%20HANDBOOK%20EN%2020101115.pdf>>.

TNA handbook). He highlighted the revisions that had been made to the updated TNA handbook after further field testing the handbook. In addition, he demonstrated some of the supporting tools for conducting technology needs assessments (TNAs), such as TNAssess<sup>9</sup> and ClimateTechWiki.<sup>10</sup> He further informed the group that the updated TNA handbook will be officially launched at COP 16 in several languages, including Chinese, English, French and Spanish.

18. The EGTT encouraged UNDP and the United Nations Environment Programme (UNEP) to further promote the use of the updated TNA handbook among Parties not included in Annex I to the Convention (non-Annex I Parties), including those currently conducting or updating their TNA as part of the Poznan Strategic Programme on Technology Transfer.<sup>11</sup>

19. The secretariat, in collaboration with the EGTT, had scheduled a workshop on good practices in conducting TNAs to be held from 4 to 6 November 2010. Due to unforeseen circumstances, the workshop could not be held as planned. The secretariat plans to organize the TNA workshop in early 2011 and will report on the outcomes of this workshop at SBSTA 34.

## **2. Innovative options for financing the development and transfer of technologies**

### *Training programme on preparing technology transfer projects for financing*

20. In response to a request by the COP at its thirteenth session,<sup>12</sup> the secretariat coordinated the implementation of a regional training programme on preparing technology transfer projects for financing, involving various international organizations and initiatives, including UNEP, the United Nations Industrial Development Organization, the United Nations Institute for Training and Research, the Global Environment Facility (GEF) and the Climate Technology Initiative. The training programme was initiated by a training of trainers workshop in 2008 followed by three regional workshops for the African, Latin America and the Caribbean and Asia and Pacific regions in 2009 and 2010.

21. At the sixth meeting of the EGTT, the secretariat presented the outcomes, experiences and lesson learned from the organization of this training programme. The group discussed possible follow-up actions, taking into account suggestions by participants of the regional training workshops, including developing and implementing an online training programme on preparing technology transfer projects for financing in order to increase the impact of the training programme. The report of the regional training programme is contained in document FCCC/SBSTA/2010/INF.6.

### *On-line training programme on preparing technology transfer projects for financing*

22. The programme of work of the EGTT includes the development of a proposal by the secretariat for an online training programme on preparing technology transfer projects for financing. The secretariat presented such a proposal at the sixth meeting of the EGTT.

23. In preparing the proposal for an online training programme, the secretariat has built on experiences and lessons learned from the work of the EGTT on innovative options for financing the development and transfer of technologies, including the publication of the UNFCCC publication *Preparing and Presenting Proposals: A Guidebook on Preparing*

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<sup>9</sup> TNAssess is a tool to facilitate multicriteria decision-making.

<sup>10</sup> ClimateTechWiki is a web-based platform for tools and resources for assisting countries in making strategic choices on technologies for low-emission and climate-resilient development available at <<http://portal.climatechwiki.org>>.

<sup>11</sup> FCCC/SBI/2010/25.

<sup>12</sup> FCCC/CP/2007/6, paragraph 79 (a).

*Technology Transfer Projects for Financing*<sup>13</sup> and the implementation of the regional training programme on preparing technology transfer projects for financing.

24. The EGTT welcomed the proposal and recommended that the secretariat coordinate the implementation of a pilot online training course on preparing technology transfer projects for financing with the participation of relevant international organizations and initiatives, subject to the availability of resources. The EGTT recommended that a course combining online training with face-to-face training be offered in order to ensure optimal effectiveness of the training.

### **3. Collaborative research and development**

25. At its thirty-second session the SBSTA endorsed<sup>14</sup> the terms of reference for a report by the EGTT on options to facilitate collaborative technology research and development. It requested the EGTT, in preparing this report, to focus on collaborative technology R&D to enhance action on mitigation and adaptation under the Convention, and on ways in which collaborative technology R&D activities outside the Convention can support this action.

26. At its sixth meeting, the EGTT discussed the report prepared in response to the above-mentioned request for consideration by the SBSTA at its thirty-third session.<sup>15</sup> The report draws upon an extensive review of existing collaborative R&D initiatives to identify key issues and gaps and identifies practical options that those considering such arrangements could draw on to enhance collaborative R&D.

27. Taking a broad perspective on the objectives of collaborative R&D in the climate arena, this report suggests that three key goals relevant to developing countries need to be addressed, namely:

- (a) Adaptation/modification of existing technologies/products for local conditions and contexts;
- (b) Development of technologies and products, including endogenous technologies, for unaddressed needs that are specific to developing countries;
- (c) Long-term R&D.

### **4. Enhancing cooperation with relevant international organizations**

28. The identification of areas with the potential for enhanced cooperation between the secretariat, other multilateral environmental agreements and intergovernmental processes, and the business community is an ongoing activity of the EGTT. To this end, experts from other relevant international organizations were invited to the sixth meeting of the EGTT, where priority was given to discussing topics contained in the updated rolling programme of work of the EGTT and topics emerging from technology-related negotiations under the AWG-LCA.

#### *Poznan strategic programme on technology transfer*

29. At the sixth meeting of the EGTT, the representative of the GEF provided an update on progress made in the implementation of the Poznan strategic programme on technology transfer. She highlighted the progress made in relation to the three funding windows of the programme: (a) TNAs; (b) technology transfer pilot projects; and (c) the long-term implementation of the programme. She elaborated on long-term implementation by highlighting the guiding principles, strategy and objectives for the fifth replenishment of

<sup>13</sup> Available at <<http://unfccc.int/ttclear/jsp/Guidebook.jsp>>.

<sup>14</sup> FCCC/SBSTA/2010/6, paragraph 29.

<sup>15</sup> FCCC/SBSTA/2010/INF.11.

the GEF Trust Fund. She further elaborated on possible elements of a long-term programme on technology transfer, including:

- (a) Support for the implementation of the proposed Climate Technology Centre and Network;
- (b) Piloting priority technology projects to foster innovation and investments;
- (c) Public–private partnerships for technology transfer;
- (d) TNAs;
- (e) The GEF as a catalytic supporting institution for technology transfer.

30. The EGTT took note of an update provided by the GEF on the progress in carrying out the Poznan strategic programme on technology transfer, including its proposed long-term strategy submitted for the consideration of the SBI at its thirty-third session. The EGTT also noted that the GEF expected to receive guidance from the COP on its proposed long-term strategy included in document FCCC/SBI/2010/25.

*Dialogue with the private sector*

31. A representative of the business community participated in the sixth meeting of the EGTT, in accordance with the conclusions of the SBSTA and the SBI at their thirty-first sessions welcoming the continued dialogue of the EGTT with the business community,<sup>16</sup> and their conclusions at their thirtieth sessions that consideration should be given to establishing an effective means of engaging the private sector more fully in the process.

#### **IV. Activities for immediate follow-up**

32. The EGTT recommends the following pending activities of its updated rolling programme of work for immediate follow-up to ensure continuity of the work, resources permitting:

- (a) Organize a workshop on good practices in conducting TNAs to be held in early 2011 and to report on its outcomes to the SBSTA at its thirty-fourth session;
- (b) Prepare a report to promote success stories in relation to financing technology transfer projects in non-Annex I Parties involving the private sector, as specified in the programme of work of the EGTT for 2010–2011, for consideration by Parties at the thirty-fourth sessions of the subsidiary bodies;
- (c) Coordinate the implementation of a pilot online training course on preparing technology transfer projects for financing with the participation of relevant international organizations and initiatives;
- (d) Organize a workshop on operational modalities of the proposed Technology Mechanism as referred to in paragraph 11 above.

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<sup>16</sup> FCCC/SBSTA/2009/8, paragraph 23, and FCCC/SBI/2009/15, paragraph 64.



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## Annex

### Members of the Expert Group on Technology Transfer for 2010

#### Africa

Mr. Nagmeldin Goutbi Elhassan (Sudan)  
Mr. Ben Mohamed Abdelkrim\* (Niger)  
Mr. Birama Diarra (Mali)

#### Asia and the Pacific

Mr. Pak Sum Low (Malaysia)  
Mr. Can Wang\* (China)  
Mr. John Korinhona\* (Solomon Islands)

#### Latin America and the Caribbean

Ms. Marcela Gregori\* (Argentina)  
Mr. Carlos Villon (Ecuador)  
Mr. Arthur Wellington Rolle (Bahamas)

#### Small island developing States

Mr. Taito Nakalevu (Fiji)

#### Other Parties not included in Annex I to the Convention

Ms. Marina Shvangiradze\* (Georgia)

#### Parties included in Annex I to the Convention

Mr. Jukka Uosukainen (Finland)  
Mr. Holger Liptow (Germany)  
Mr. Ronald Schillemans\* (Netherlands)  
Mr. Michael Rantil\* (Sweden)  
Mr. Bruce Wilson (Australia)  
Mr. Kunihiko Shimada\* (Japan)  
Ms. Susan Weston (Canada)  
Mr. Elmer Holt\* (United States of America)

\* Members nominated for 2010–2011. The mandate for the other members will expire at the end of 2010.

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