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SUBSIDIARY BODY FOR SCIENTIFIC AND TECHNOLOGICAL ADVICE
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Agenda item 3

**MATTERS REFERRED TO THE SUBSIDIARY BODY FOR SCIENTIFIC
AND TECHNOLOGICAL ADVICE BY THE PLENARY
OF THE CONFERENCE OF THE PARTIES**

Development and transfer of technologies (decision 13/CP.1)
(Agenda item 4 (c) of the Conference of the Parties)

Recommendation of the Subsidiary Body for Scientific and Technological Advice

Development and transfer of technologies

The Conference of the Parties,

Recalling the relevant provisions of the programme for the further implementation of Agenda 21 on the transfer of environmentally sound technologies adopted by the United Nations General Assembly at its nineteenth special session, and decision 6/3 of the Commission on Sustainable Development,

Further recalling the provisions of the United Nations Framework Convention on Climate Change, including its Articles 4.1, 4.3, 4.5, 4.7, 4.8, 4.9, 9.2, 11.1, 11.5, 12.3 and 12.4,

Noting that reports are under preparation which will contribute substantially to the understanding of technology transfer issues, including the secretariat technical papers on terms of transfer and adaptation technologies, and the Intergovernmental Panel on Climate Change Special Report on technology transfer,

Recognizing the need for continued efforts by Parties to promote and cooperate in the development, application, diffusion and transfer of technology,

Recognizing that the private sector may play an important role in development, transfer and finance of technology, and that the creation of enabling environments at all levels provides a platform to support the development, use, and transfer of environmentally sound technologies,

Having considered the progress reports presented by the Convention secretariat on the development and transfer of technology,

Recalling and reaffirming its decisions 13/CP.1, 7/CP.2 and 9/CP.3 on transfer of technology,

1. *Agrees* that strengthening the capacities and capabilities of developing country Parties to address climate change will help these Parties to make their contributions to modifying the long-term trends of climate change, address climate change, achieve sustainable development and contribute to the ultimate objective of the Convention;

2. *Encourages* all relevant international organizations to mobilize and facilitate efforts to provide financial resources needed by developing country Parties to meet their agreed incremental costs, including transfer and development of technology, enhancement of endogenous capacities, implementation of such measures as improving energy efficiency, exploiting renewable energies, enhancing sinks and preparing for adaptation to adverse effects of climate change;

3. *Requests* Annex II Parties:

(a) To take all practicable steps to promote, facilitate and finance, as appropriate, the transfer of, or access to, environmentally sound technologies and know-how, to developing country Parties;

(b) To support capacity building and strengthening of appropriate institutions in developing countries to enable the transfer of environmentally sound technologies;

4. *Further requests* Annex I Parties, in particular Annex II Parties:

(a) To assist the developing country Parties in their efforts to build capacity and institutional frameworks to improve energy efficiency and utilization of renewable energies through multilateral and bilateral cooperative efforts;

(b) To provide assistance to developing country Parties to build capacity for sustainable management, conservation and enhancement, as appropriate, of sinks and reservoirs of all greenhouse gases not controlled by the Montreal Protocol, including biomass, forests, and oceans as well as other terrestrial, coastal and marine ecosystems;

(c) To assist developing country Parties to build capacity to adapt to the adverse effects of climate change;

(d) To assist developing country Parties to strengthen their endogenous capacities and capabilities in the areas of technological and socio-economic research and systematic observation relevant to climate change and its associated adverse effects;

(e) Taking into account Article 6 of the Convention, to cooperate in and promote capacity building of developing country Parties at the international, regional, sub-regional and national levels through cooperation programmes supported by United Nations and other multilateral agencies, as well as bilateral agencies;

5. *Requests* all Parties to enhance reporting in their national communications of technology cooperation and transfer activities and *invites* non-Annex I Parties to include, where possible, their technology needs;

6. *Encourages* Parties to implement practical cooperation programmes and projects to promote and facilitate technology transfer which can reduce greenhouse gas emissions and facilitate adaptation to climate change and its adverse effects, while supporting sustainable development;

7. *Invites* the Subsidiary Body for Implementation in considering additional guidance to the Global Environment Facility, to take note that priority should be given to the need to build capacity in developing countries, to identify and analyse technology and technology information needs and technology transfer;

8. *Urges:*

(a) Annex I Parties, in their technology transfer activities, to take into account support for the development and enhancement of the endogenous capacities and technologies of developing country Parties;

(b) Parties listed in Annex II, to provide a list of environmentally sound technologies and know-how related to adaptation to and mitigation of climate change that are publicly owned, as appropriate, for reference by developing country Parties, and report in their national communications, steps taken to implement Article 4.5 of the Convention;

(c) Non-Annex I Parties, in the light of their social and economic conditions, to submit their prioritized technology needs, especially relating to key technologies to address climate change in particular sectors of their national economy, taking into account state-of-the-art environmentally sound technologies;

(d) Both developed and developing country Parties to create an enabling environment, as referred to in United Nations document E/1998/29-E/CN.17/1998/20, paragraph A.2(e), to stimulate private sector investment in the transfer of environmentally sound technologies and know-how to developing countries and promote the implementation of endogenous know-how;

9. *Invites* all Parties and interested international and non-governmental organizations to identify projects and programmes on cooperative approaches to technology transfer, which they believe can serve as models for improving the diffusion and implementation of clean technologies under the Convention, and to provide information on these projects to the secretariat by 15 March 1999 for compilation into a miscellaneous document to be considered by the Subsidiary Body for Scientific and Technological Advice at its tenth session;

10. *Requests* the chairman of the Subsidiary Body for Scientific and Technological Advice to establish a consultative process to consider the preliminary list of issues and questions contained in the annex to this decision and to make recommendations on how they should be addressed in order to achieve agreement on [a] meaningful and effective [actions][framework] [technology transfer mechanism] to enhance implementation of Article 4.5 of the Convention. Such a process should also consider issues identified in the secretariat's progress report on transfer of technology¹ and in submissions from Parties. The consultation process could include, resources permitting, regional meetings, regional workshops, and a Subsidiary Body for Scientific and Technological Advice workshop, arranged with the assistance of the secretariat and drawing upon, as appropriate, experts engaged in the IPCC process;

11. *Further requests* the chairman of the Subsidiary Body for Scientific and Technological Advice to report on the outcome of the consultative process to the eleventh session of the Subsidiary Body for Scientific and Technological Advice, with a view to recommending a decision for the Conference of the Parties at its fifth session;

12. *Invites* Parties to provide submissions to the secretariat by 15 March 1999 on responses to the questions identified in the annex to this decision, as well as issues and questions to be added to the annex;

13. *Requests* the Convention secretariat:

(a) To continue its work on the synthesis and dissemination of information on environmentally sound technologies and know-how conducive to mitigating, and adapting to, climate change, and in doing so to complete its on-going activities for 1999 as noted in the secretariat progress report referred to in paragraph 10;

(b) In preparing the budget for the next biennium, to give priority to activities on the theme of building the capacity of Parties to enhance the transfer of environmentally sound technologies, as noted in the secretariat progress report referred to in paragraph 10, including assessing and synthesizing information on environmentally sound technologies, and in so doing to identify specific tasks; and

(c) To further strengthen its activities in support of developing country Parties with regard to strengthening their capacity building for the transfer of environmentally sound technologies.

¹ FCCC/CP/1998/6.

[Annex

Issues	Questions
Practical steps to promote, facilitate and finance, as appropriate, transfer of, and access to, environmentally sound technologies and know-how	
Promote the removal of barriers to technology transfer.	How should Parties promote the removal of barriers to technology transfer? Which barriers are a priority and what practical steps should be taken?
Initiate and promote the transfer of publicly owned technology and those in the public domain.	What publicly owned technologies are available? How could Annex II Parties report upon them? How should Annex II Parties promote the transfer of publicly owned technologies?
Promote bilateral and multilateral technology cooperation to facilitate technology transfer.	What additional bilateral and multilateral efforts to promote technology cooperation to facilitate technology transfer should be initiated? What should be the priority?
[Consider appropriate mechanisms for technology transfer within the UNFCCC].	[Are new mechanisms needed for technology transfer? If so, what are appropriate mechanisms for the transfer of technologies among Parties in pursuance of Article 4.5 of the UNFCCC?]
Collaborate with relevant multilateral institutions to promote technology transfer.	What should be the objective of collaboration with relevant multilateral institutions to promote technology transfer and what practical steps should be taken?
Promote and facilitate, in collaboration with the interim financial mechanism, multilateral and bilateral institutions, the arrangement of financing of technology transfer.	What additional guidance should be given to the interim financial mechanism?
Promote and assist developing country Parties to access technology information.	What sort of information is needed and how can this best be done?
Facilitate access to emerging technologies.	How could access to emerging technologies be facilitated?
Facilitate the appropriate role of the private sector.	What role is the private sector playing in technology transfer? What additional role can the private sector play ? What barriers prevent their greater participation?
Support for the development and enhancement of endogenous capacities and technologies of developing country Parties	
Provide technical advice on technology transfer to Parties, particularly developing country Parties.	What technical advice on technology transfer is needed? How should such advice be provided?

Issues	Questions
Promote capacity building in developing country Parties through provision of concrete programmes.	What areas should be the focus of capacity building and how should it be undertaken, e.g. what kinds of activities, programmes and institutional arrangements?
Assist developing country Parties, on request, to assess required technologies.	How, to whom and in what format should developing country Parties make their request for assistance to assess required technologies?
Promote and enhance access to relevant technical, legal and economic information at national and regional centres.	What technical, legal and economic information is needed ? What practical steps should be taken to promote and enhance access to such information by national and regional centres?
Develop a consensus on practical next steps to improve on existing technology centres and networks to accelerate the diffusion of clean technologies in non-Annex I Party markets.	What type of process is needed to develop a consensus on practical next steps to improve on existing technology centres and networks to accelerate the diffusion of clean technologies in non-Annex I Party markets. What type of arrangement is needed to monitor progress?
Promote an enabling environment for private sector participation.	What measures, programmes and activities can best help to create an appropriate enabling environment for private sector investment ?
Assistance in facilitating the transfer of environmentally sound technologies and know-how	
Oversee the exchange of information among Parties and other interested organizations on innovative technology cooperation approaches, and the assessment and synthesis of such information.	How should the Convention oversee the exchange of information among Parties and other interested organizations on innovative technology cooperation approaches, and the assessment and synthesis of such information?
Consider information on innovative technology cooperation approaches and develop recommendations to the Conference of the Parties which could be recognized more formally and widely implemented under the Convention.	How should information be compiled and synthesized on innovative technology cooperation approaches? When should recommendations on such approaches be forwarded to the Conference of the Parties?
Identify projects and programmes on technology cooperation, which can serve as models for improving the diffusion and implementation of clean technologies internationally under the Convention, and to provide information on these projects to the UNFCCC secretariat.	How and when should information on projects and programmes of technology cooperation which Parties believe can serve as models for improving the diffusion and implementation of clean technologies internationally under the Convention be provided to the secretariat? How could information on such model programmes be evaluated?
Other questions	
<p>Can specific technology transfer goals be set?</p> <p>Can we develop indicators and accounting systems to track progress on technology transfer?</p> <p>Are particular institutional arrangements needed to monitor progress?]</p>	