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Development and transfer of technologies

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Development and transfer of technologies

**Performance indicators to monitor and evaluate the effectiveness of the
implementation of the technology transfer framework**

Draft report by the Chair of the Expert Group on Technology Transfer*

Summary

This note provides an executive summary of the draft report by the Chair of the Expert Group on Technology Transfer on performance indicators to monitor and evaluate the effectiveness of the implementation of the technology transfer framework (FCCC/SB/2009/1).

* The document was submitted after the due date owing to the timing of the Expert Group on Technology Transfer, held from 13 to 14 May, 2009.

Executive summary

1. The Conference of the Parties (COP), by its decision 3/CP.13, annex II, requested that the Expert Group on Technology Transfer (EGTT) develop and test a balanced and robust set of performance indicators that could be used by the Subsidiary Body for Implementation to monitor and evaluate the effectiveness of the implementation of the framework for meaningful and effective actions to enhance the implementation of Article 4, paragraph 5, of the Convention. The outcome of this work may also provide input to the work of the subsidiary bodies on the following matters: (i) reviewing and assessing the effectiveness of the implementation of Article 4, paragraphs 1(c) and 5, of the Convention; (ii) considering the role of new financing mechanisms and tools for scaling up development and transfer of technology; and (iii) long-term cooperative action under the Convention.

2. This report builds on the interim report prepared for the twenty-ninth sessions of the subsidiary bodies.¹ The specific objectives of this report are to: (i) present the participative design process (including a methodological sheet for each performance indicator selected); (ii) report on the experiences in collecting data for measuring the performance indicators; and (iii) present the results of an overall evaluation of the testing process.

3. The report describes how the standard methodological sheet² was used as a tool to address, *inter alia*, the extent to which each performance indicator is specific, measurable, achievable, relevant and time-bound (SMART). A methodological sheet has been completed for each of the 32 performance indicators for monitoring and evaluating the effectiveness of the implementation of the technology transfer framework and for each of the eight indicators for financial flows.³

4. Based on the results of the testing process,⁴ practical steps are suggested to operationalize a monitoring and evaluation system. These include the possibility of an agreed arrangement between the UNFCCC secretariat and relevant intergovernmental organizations (IGOs) and international organizations to provide the data required. Within this context, there may be a need to find a common technology typology between the UNFCCC secretariat and those IGOs and international organizations. Furthermore, as part of the post-2012 arrangement, the guidelines for national communications may need to be specified or a template may need to be introduced to guide reporting in national communications in order to obtain from Parties the data needed for specific key performance indicators. Specific problems with the performance indicators relating to each key theme are also discussed in the report.

5. The possible influences of financial flows for supporting the development and transfer of technologies are analysed in this report. A conceptual framework has been developed, which has allowed the development of candidate indicators for sources of finance, including the identification of influencing factors. This has resulted in a proposed hierarchy of eight nested financing indicators for sources of finance.

6. The influencing factors for financial flows have been linked to the performance indicators for the technology transfer framework. As a result of this work on influencing factors, it may be possible to relate the objectives of the technology transfer framework to the research and development, demonstration and deployment stages of technology maturity. Furthermore, indicators relating to enabling environments are crucial to reflect the influencing factors.

¹ FCCC/SB/2008/INF.6.

² FCCC/SB/2009/1, annex I.

³ <<http://unfccc.int/ttclear/jsp/EGTTDoc/sheets.pdf>>.

⁴ FCCC/SB/2009/1, annex II.

7. The experience and lessons learned from the development of performance indicators by the EGTT may contribute to the ongoing deliberations among Parties under the Ad Hoc Working Group on Long-term Cooperative Action under the Convention (AWG-LCA) on matters relating to “measurable, reportable and verifiable”, as referred to in paragraph 1 (b) (ii) of the Bali Action Plan (decision 1/CP.13). Possible suggestions on linkages of this work with matters relating to “measurable, reportable and verifiable” could be made after further deliberations among Parties, including the outcomes of the sixth session of the AWG-LCA.

8. The EGTT is considering the timing and frequency of monitoring and evaluating the effectiveness of the implementation of the technology transfer framework, including the possibility of initiating a pilot activity by 2010 by using the proposed performance indicators on the basis of existing information.
