

UNFCCC/UNDP Expert Meeting on Methodologies
for Technology Needs Assessments
KEMCO¹, Seoul, Republic of Korea
23-25 April 2002

Introduction

By its decision 4/CP.4, the COP urges non-Annex I Parties, in the light of their social and economic conditions, to submit their prioritized technology needs especially those relating to key technologies to address climate change in particular sectors of their economies, taking into account state-of-the-art environmentally sound technologies (FCCC/CP/1998/16/Add.1). Recognizing the limited resources of non-Annex I Parties, the COP directed the Global Environment Facility to provide funding to developing countries to identify and submit to the Conference of the Parties their prioritized technology needs (decision 2/CP.4).

There are now 51 countries that are in the process of assessing their technology needs under the GEF through UNDP and UNEP. The lack of standardized guidelines for needs assessments presents a challenge to countries implementing these assessments. There are, however, efforts underway by other multilateral institutions such as the Climate Technology Initiative and various bilateral initiatives to assist developing countries in identifying their technology needs that can be a rich source of inputs in the development of methodologies for technology needs assessments.

The decision on the development and transfer of technologies in COP7 contained a framework for meaningful and effective actions to enhance the implementation of Article 4.5 of the Convention (decision 4/CP.7). The second key theme of the framework describes actions related to technology needs and needs assessments. Under this theme, the objective of technology needs assessments is “to assist in identifying and analysing priority technology needs, which can be the basis for a portfolio of environmentally-sound technologies (ESTs) projects and programmes which can facilitate the transfer of, and access to, the ESTs and know-how in the implementation of Article 4.5 of the Convention.” To implement this, “the Chairman of the SBSTA, with the assistance of the secretariat, in consultation with the expert group on technology transfer, is requested to organize a meeting with representatives from governments, experts drawn from the UNFCCC roster of experts, and representatives from relevant international organizations, to identify methodologies needed to undertake technology needs assessments and to report its findings to the SBSTA at its sixteenth session (FCCC/CP/2001/13/Add.1).”

Aims and Objectives

The expert meeting will address the following specific aims and objectives with a view of providing the SBSTA with technical information on different tools and methodologies in assessing technology needs.

The specific aims of the expert meeting are:

1. Provide the SBSTA with technical advice on available tools and methodologies in technology needs assessments taking into consideration:
 - The experiences from developing country Parties taking part in the National Country Studies Program of the GEF through UNDP and UNEP;

¹ The Korea Energy Management Corporation (KEMCO) is the national energy efficiency center of the Republic of Korea responsible for the implementation of national energy efficiency and conservation programmes (<http://www.kemco.or.kr/english>).

- Tools and techniques used by bilateral institutions and other international organizations in implementing projects involving technology transfer;
 - The need to identify tools and methodologies in needs assessments that would suit the requirements of the Convention.
2. Identify the different barriers/challenges in conducting technology needs assessments and the means to overcome these barriers;
 3. Discuss the processes and main elements of technology needs assessments consistent with the requirements of Article 4.5 of the Convention;
 4. Recommend to SBSTA tools, methodologies and processes in assessing technology needs that the Parties may consider in preparing their prioritized needs;
 5. Describe potential follow-up activities after identification of technological needs that may be pursued by the different stakeholders.

Structure of the meeting

The expert meeting will provide opportunity for country representatives and experts to exchange information on the status of work related to technology needs assessments and to identify methodological difficulties encountered, including assistance required. To achieve this end, the meeting will be using the following approaches:

1. **Background paper.** In preparation for the expert meeting, the secretariat commissioned the drafting of a background paper to facilitate the discussions. The paper will look into the experiences of international organizations in technology needs assessments. In analyzing the experiences, the paper will specifically address the following topics:
 - Overview of the state of tools and methodologies in assessing technology needs;
 - Outline the type of environmentally-sound technologies identified;
 - Identify and assess the various economic, environmental, social and technical tools, methodologies and processes currently being used in evaluating ESTs;
 - Description of the decision-making tools and criteria used in selecting the different technological options;
 - Analyze the process of identifying the barriers to implementation of specific technology transfer actions that countries are proposing in their needs assessments;
 - Identify the type of expertise required in needs assessments and determine the availability of these experts particularly in developing countries;
 - Examine the sufficiency of available data at the national or regional levels to be able to come up with comprehensive assessment of needs;
 - Identify the role of the different stakeholders such as government agencies, academic institutions, NGOs and private sector and the challenges encountered;
 - Identify capacity-building requirements and technical assistance needed at the country and regional levels in technology needs assessments.
2. **Country case studies.** Country case studies and presentations from international organizations will also be a valuable source of inputs for the expert meeting. The case studies will provide the details of country experiences and will verify the

strengths and weaknesses of the various tools and methodologies. They will also serve as platform for sharing innovative ideas in needs assessments.

3. **Panel and plenary discussions.**

The panel and plenary discussions are aimed at facilitating exchange of ideas and experiences on methodological, conceptual or procedural issues related to needs assessments. The diverse background of participants is expected to elicit substantive discussions leading to the attainment of the aims and objectives of the meeting.

Outputs

The expert meeting is expected to bring out the following outputs:

- Compilation of technical papers that may serve as reference documents by the SBSTA and other interested Parties;
- Identification of tools, methodologies and processes that the SBSTA may wish to consider when it discusses the issue of technology needs assessments under the framework for meaningful and effective actions to enhance the implementation of Article 4.5 of the Convention (4/CP.7);
- Identification of possible follow-up activities/actions of the different stakeholders after the process of identifying technological needs.

Participants

The participants to the meeting are mainly drawn from the roster of experts of the UNFCCC, government representatives and relevant international organizations. Regional representation, technical background and experience in implementation were considered in determining the composition of the participants.

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for Technology Needs Assessments

Day 1: 23 April, Tuesday

Chairman: Halldor Thorgeirsson

Time	Session Title	Objectives
8:00-9:00	Registration	
Session 1: Opening session		
9.00-9.30	<p>Opening remarks</p> <p>Kim Dong Won, <i>Deputy Minister, MOCIE</i> Halldor Thorgeirsson, <i>Chairman of SBSTA</i> Janos Pasztor, <i>UNFCCC secretariat</i></p>	
9.30-9:45	Break	
Session 2: Overview and Country Case Studies		
9.45-10.00	<p>Technology transfer in the context of the Climate Change Convention</p> <p>Wanna Tanunчайwatana, <i>UNFCCC secretariat</i></p>	Presentation of the workshop objectives and overview of the programme.
10.00-11.30	<p>Presentation of background paper: Exploring tools and methodologies in assessing technology needs</p> <p>Zou Ji, <i>UNFCCC consultant</i> Yolando Velasco, <i>UNFCCC Secretariat</i></p> <p>Discussants Rawlestone Moore, <i>Barbados</i> Jørgen Fenhann, <i>UNEP-Risoe</i></p>	<p>Overview of the state of implementation of the different methodologies in technology needs assessments.</p> <p>Synthesis: <i>Available tools and methodologies in assessing technology needs</i></p>
11.30-12.30	<p>Country case study presentations on technology needs assessments</p> <p>Javier Hanna, <i>Bolivia</i> William Agyemang, <i>Ghana</i></p>	<p>Case study presentations on identifying the scope of the assessment, overview of the different approaches in assessing needs and the results.</p> <p>Synthesis: <i>Country approaches and challenges in needs assessments.</i></p>
12.30-14.00	Lunch	
Session 3: Elements of needs assessments		

14.00-15.30	<p>Participatory process in assessing technology needs</p> <p>Vute Wangwacharakul, <i>Thailand</i> Sebastian Gallehr, <i>EBCSEF</i></p>	<p>Examples in designing a participatory process for needs assessments. The presentation will focus on the role of government agencies, business, NGOs and donor agencies. Synthesis: <i>Designing a participatory process in assessing technology needs.</i></p>
15.30-15.45	Break	
15.45-17.00	<p>Designing technology needs assessments and selecting priority areas</p> <p>Peter Pembleton, <i>UNIDO</i> Ron Benioff, <i>CTI</i> Steve Halls, <i>UNEP-DTIE IETC</i></p>	<p>Discussions include the process of identifying objectives, criteria-setting and defining sectors of interest. It will also include the process of ranking and selecting priority sectors and sub-sectors and the decision-making tools used and how decisions are taken with respect to the choice of technology in investment projects.</p> <p>Synthesis: <i>Design and selection of priority areas and barriers in conducting technology needs assessments.</i></p>
17.00-18.30	<p>Designing actions: Integration of identified technology needs with current development programs</p> <p>Sungchul Shin, <i>Korea</i> Glicerio Torres, <i>Peru</i> Marius Taranu, <i>Moldova</i> Holger Liptow, <i>Germany</i></p>	<p>Discussions will focus on technology and market assessment, process of integrating identified technology needs with national development programs and sustainable development strategies, programmes, and projects of specific sectors.</p> <p>Synthesis: <i>Integrating technology needs with current development programs.</i></p>

Day 2, 24 April, Wednesday

UNDP Session on National Communications Support Program		
8.30-8.45	Review of Day 1 and overview of day 2 program	
8.45-10.15	<p>Technology transfer activities under the National Communications Support Program (top up activities)</p> <p>Country presentations National experts</p> <p>Summary of UNDP/NCSP Survey Yamil Bonduki, <i>UNDP</i></p>	<p>Presentation on the main findings about activities, outcomes and difficulties of technology needs assessments under NCSP top up activities.</p>
10.15-10.30	Break	

10.30-11.30	A Practical Methodology to conduct technology needs assessments Rob Gross, <i>UNDP/NCSP Consultant</i>	Presentation and discussion on the main components of a practical methodology on needs assessments. <i>Synthesis: Components of technology needs assessments.</i>
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Session 4: Activities and initiatives on technology transfer		
11.30-12.30	<p>Developed countries activities on technology transfer</p> <p>Alexandra Mallett, <i>Canada</i> Vivi Yieng-Kow, <i>Denmark</i> Ko Barrett, <i>U.S.</i></p>	Developed countries activities in support of Article 4.5 of the Convention. the presentation will focus on assistance provided in acquiring mitigation and adaptation technologies.
12.30-14.00	Lunch	
14.00-15.30	<p>Multilateral initiatives and other technical assistance program</p> <p>Peter Pembleton, <i>UNIDO</i> Elmer Holt, <i>CTI</i></p>	Presentation of technical assistance programs by international organizations.
15.30-15.45	Break	
Session 5: Possible post-needs assessments activities		
15.45-17.00	<p>Case studies of technology transfer projects and partnerships</p> <p>Suk Hoon Woo, <i>Republic of Korea</i> Kishan Kumarsingh, <i>Trinidad and Tobago</i></p>	Presentation of follow-up actions after completion of needs assessments. Discussions will focus on the type of assistance provided in response to identified technology needs.
17.00-18.00	<p>Disseminating technology needs information through technology information system</p> <p>Florin Vladu, <i>UNFCCC secretariat</i> Li Junfeng, <i>China</i></p>	Presentation on the role of technology information in needs assessments.
18.00-18.30	<p>Technology transfer and national communications</p> <p>George Manful, <i>UNFCCC Secretariat</i></p>	Discussion on information contained in national communications and other concerns identified by the consultative group of experts.

Day 3, 25 April, Thursday

Session 6: Summary of recommended actions		
8.30-9.00	Summary of day 2 and presentation of workshop guidelines	

9.00-12.30	<p>Working group discussions</p> <p>The working groups will address the following topics taking into consideration the case study presentations and plenary discussions:</p> <ol style="list-style-type: none"> 1. Identify tools, methodologies and processes in technology needs assessments; 2. Identify barriers to implementation of recommended actions; 3. Identify possible next steps after assessment of technology needs 	
12.30-14.00	Lunch	
14.00-16.00	<p>Working group reports</p> <p>Conclusions</p>	
16.00-16.30	<p>Closure of the meeting</p> <p>Closing remarks</p> <p>Jong-Whan Noh, <i>KEMCO</i></p>	
17.00	Departure for the tour of Seoul and the venue for the World Cup hosted by the government of Korea.	

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